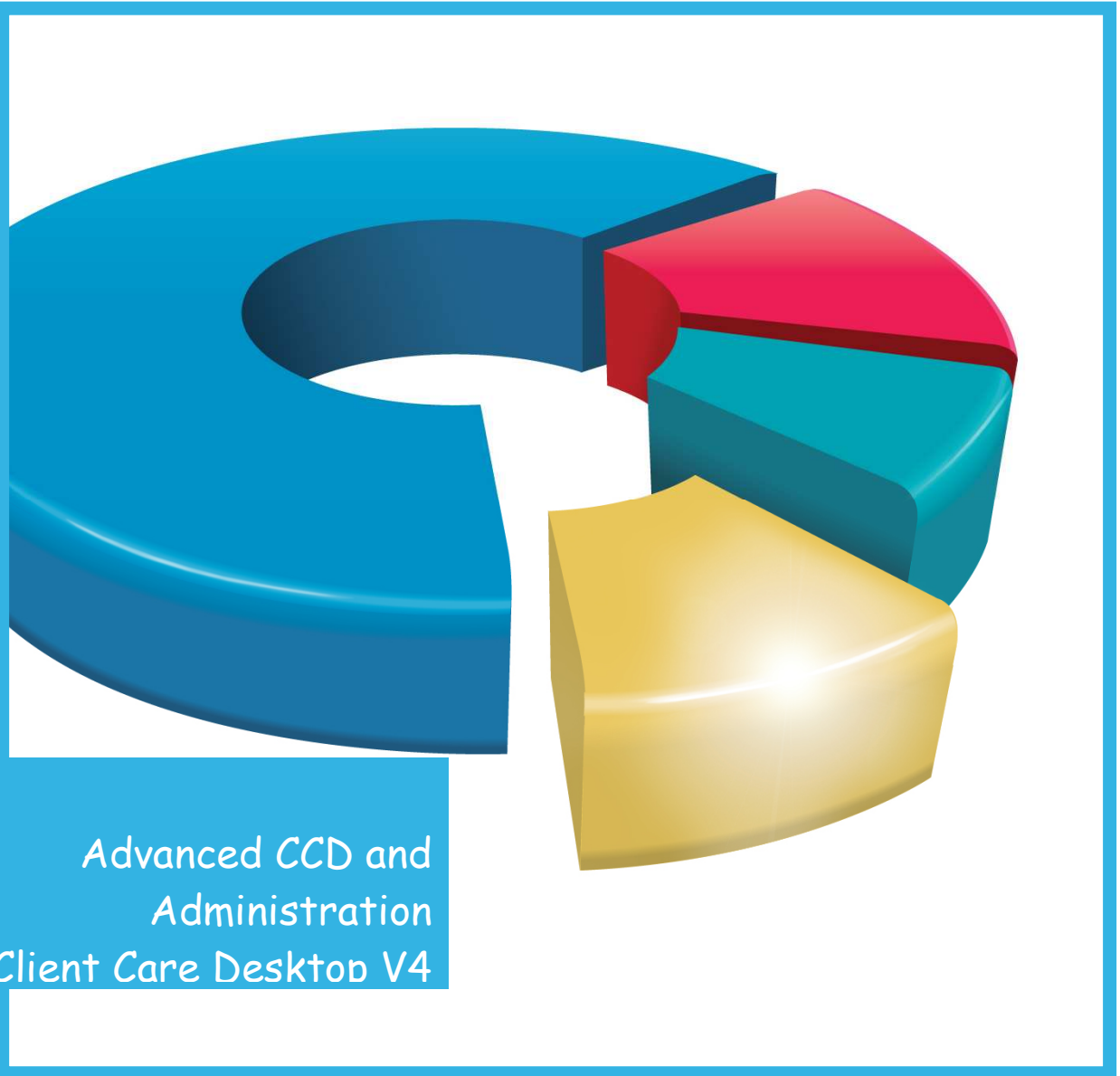


# Client Care Desktop v4.0



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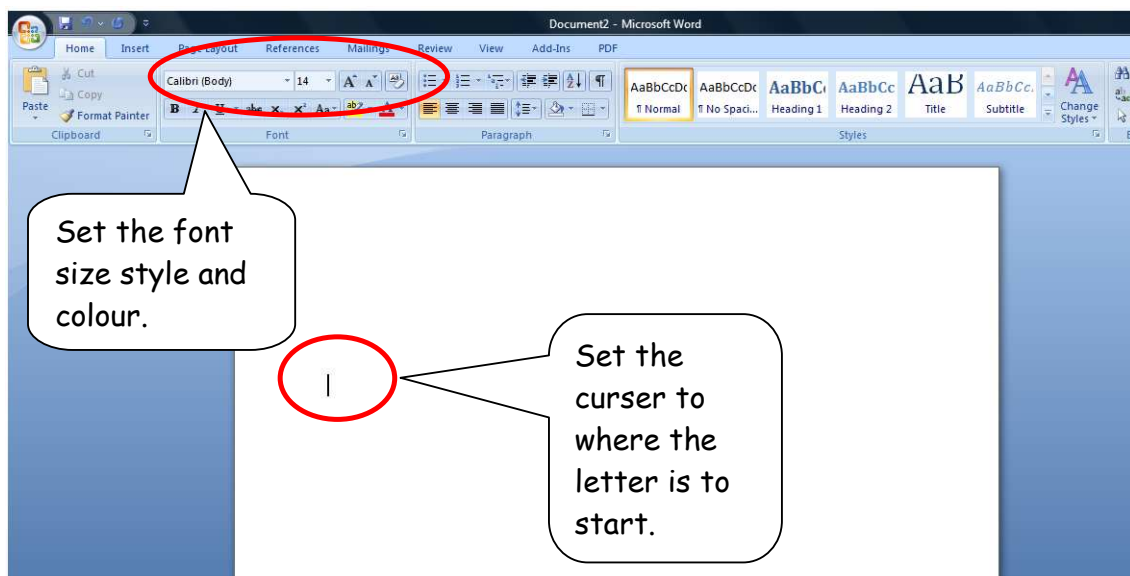
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## 1. STORING YOUR COMPANY DOCUMENTS AND REQUIREMENTS

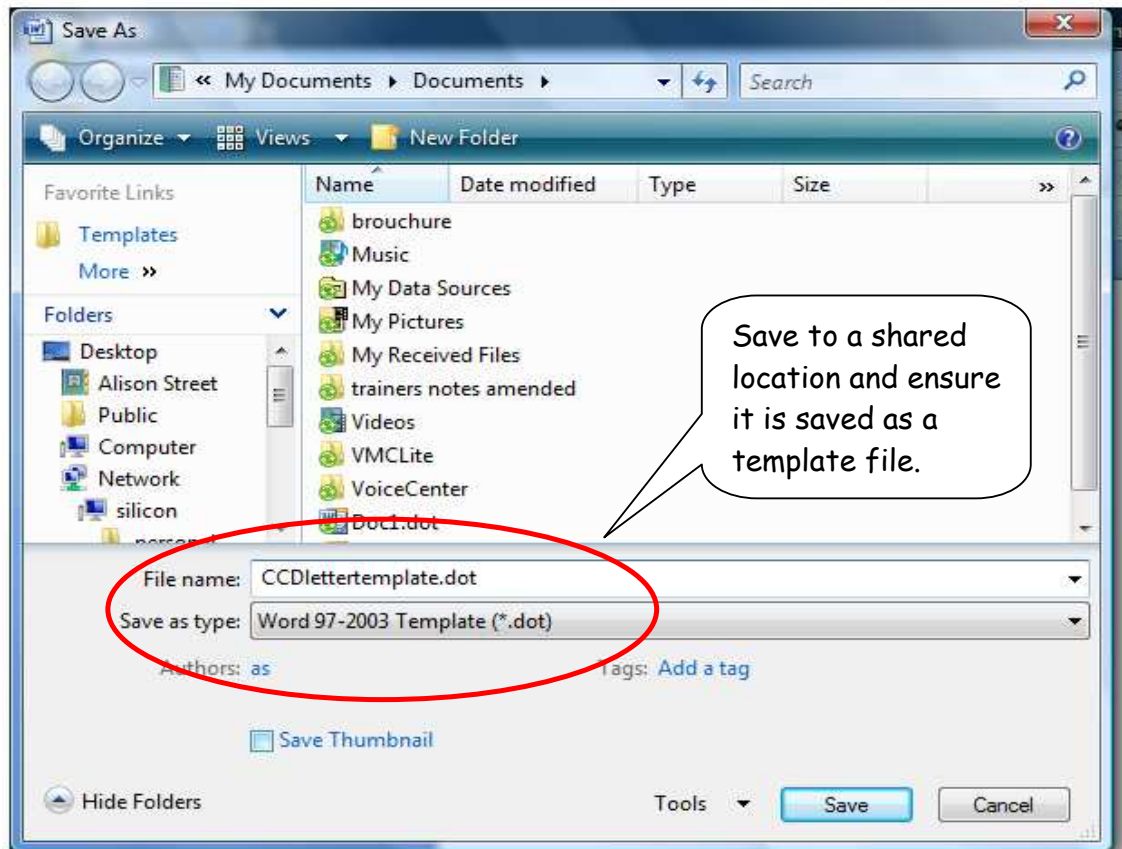
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

Firstly, if you have a preferred format that you like your letters to be produced in i.e. a company setting for font style, size and colour it is possible to direct your CCD to a pre-saved MS Word template. This ensures that when letters are output from CCD to MS Word they will appear in the company default format.

You must first set up a Word document Template (.dot) file. Go into a blank MS Word document set the font style size & colour, set tabs and leave the cursor flashing where printing is to start (below any printed letter head).

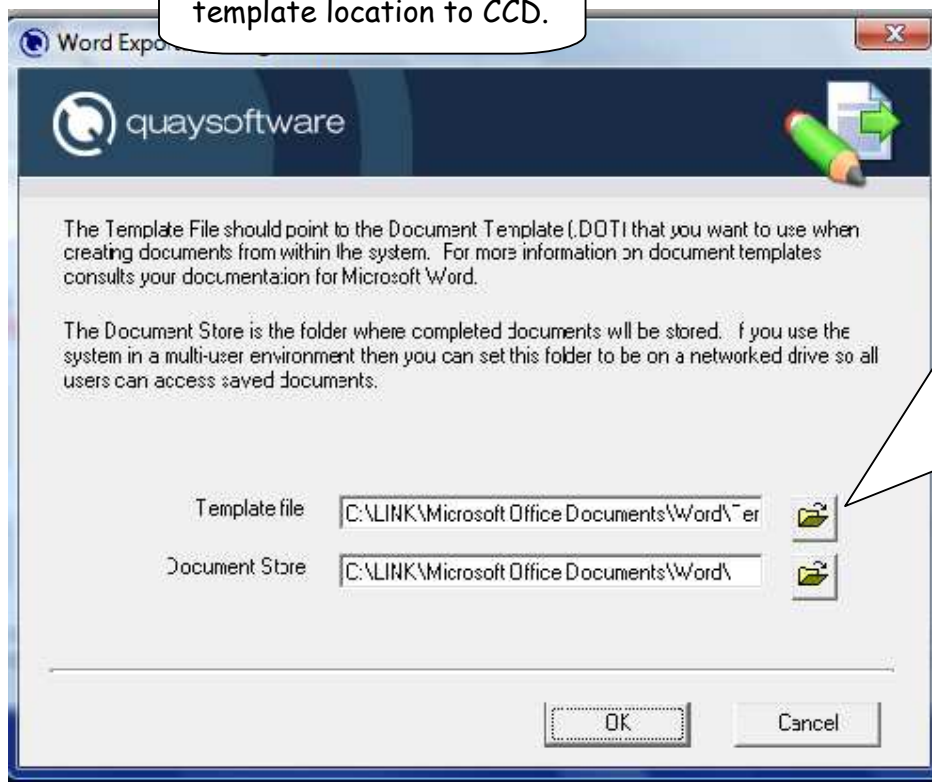
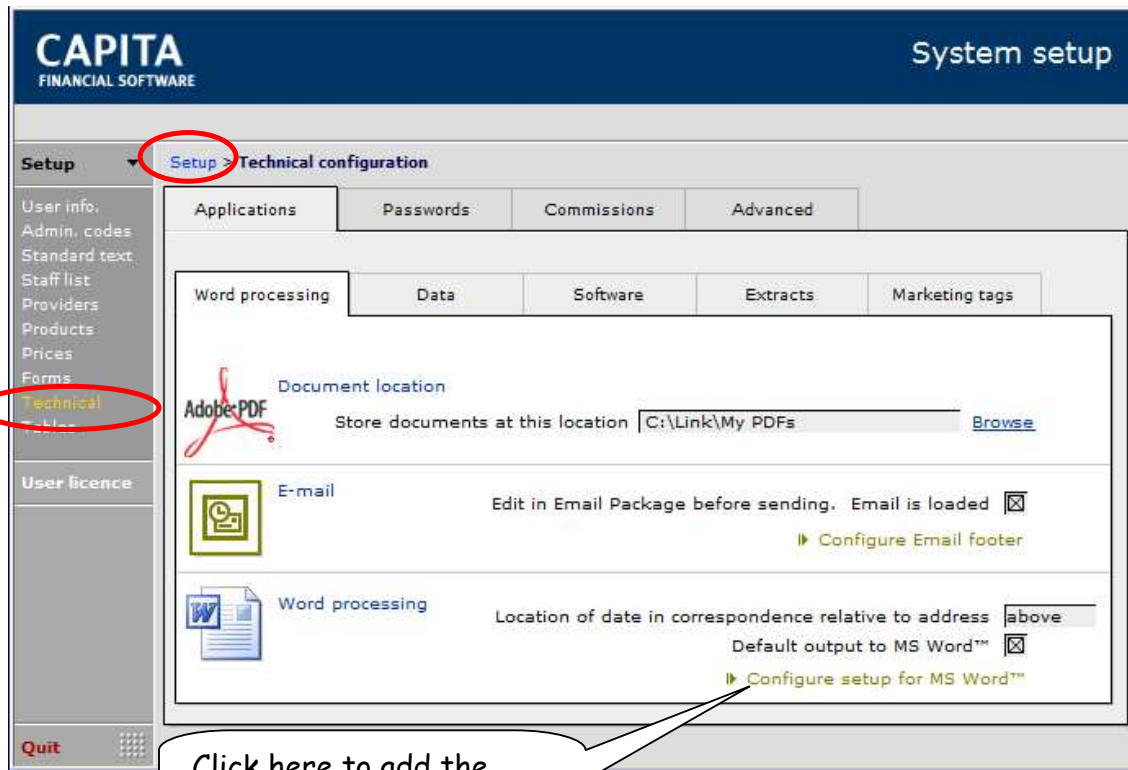


Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).



Open up CCD and go to the set-up module.

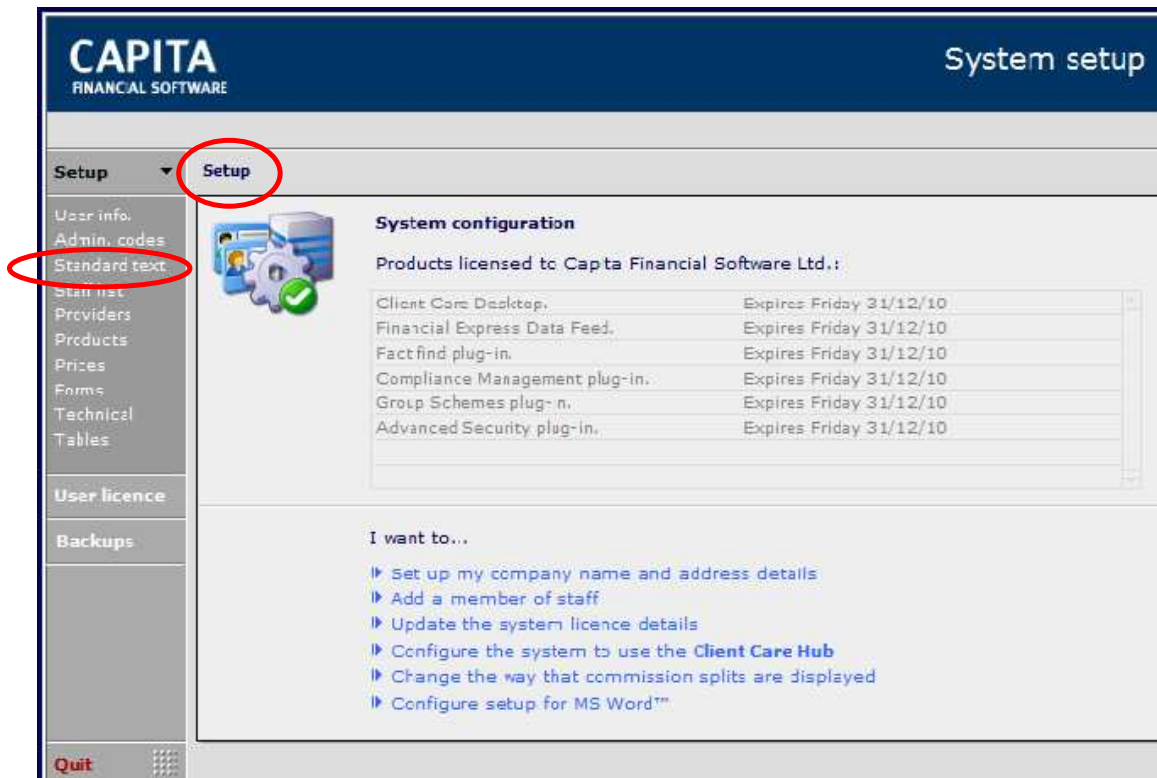




The location of your letter template has now been saved to CCD.

## 2. STORING YOUR STANDARD LETTERS IN CCD

To add new standard letters to your CCD go to the set-up module and the standard text section.



There are 4 ways to add letters to CCD

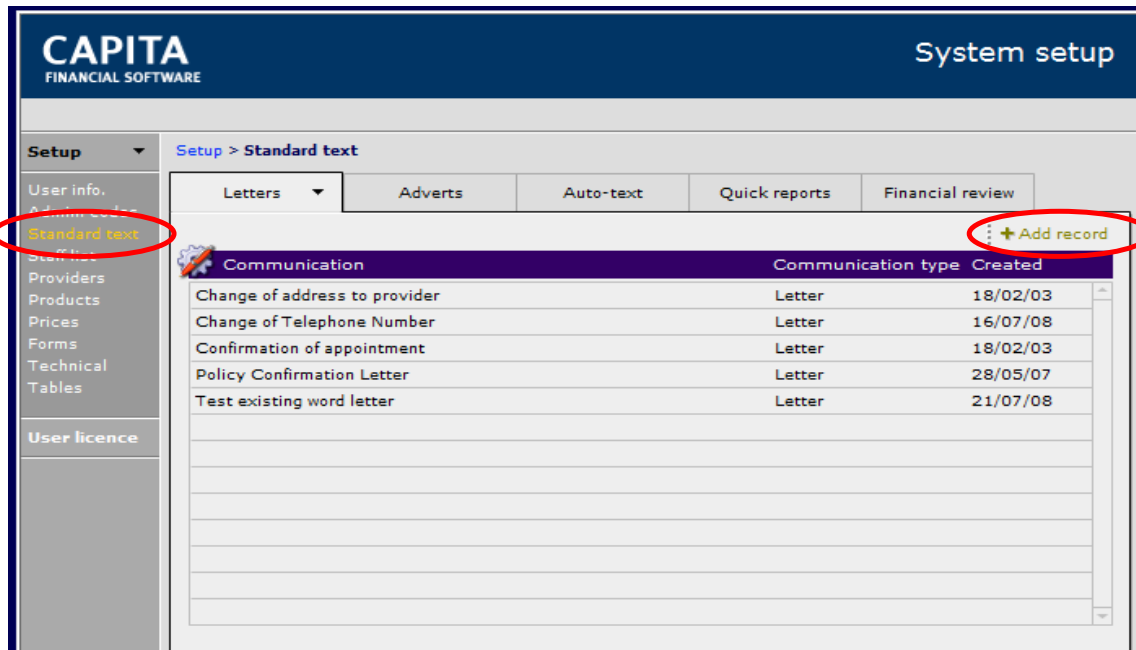
1. Copy and paste existing word letters.
2. Type new standard letters
3. Use the Message Maker function to create letters that include merge fields from information added to the clients, holdings or providers files.
4. Use existing word letters and via the message maker function add the merge fields.



Remember when adding a letter to CCD you only need to start the letter after the salutation line, CCD will automatically address and date the letter, the correct salutation will be selected from information already added to the clients file.

## 2.1. Copy and Paste existing word letters

If you already have letters saved on your system there is no need to retype the body of the letter this can be copy and pasted into the standard letter section of CCD.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

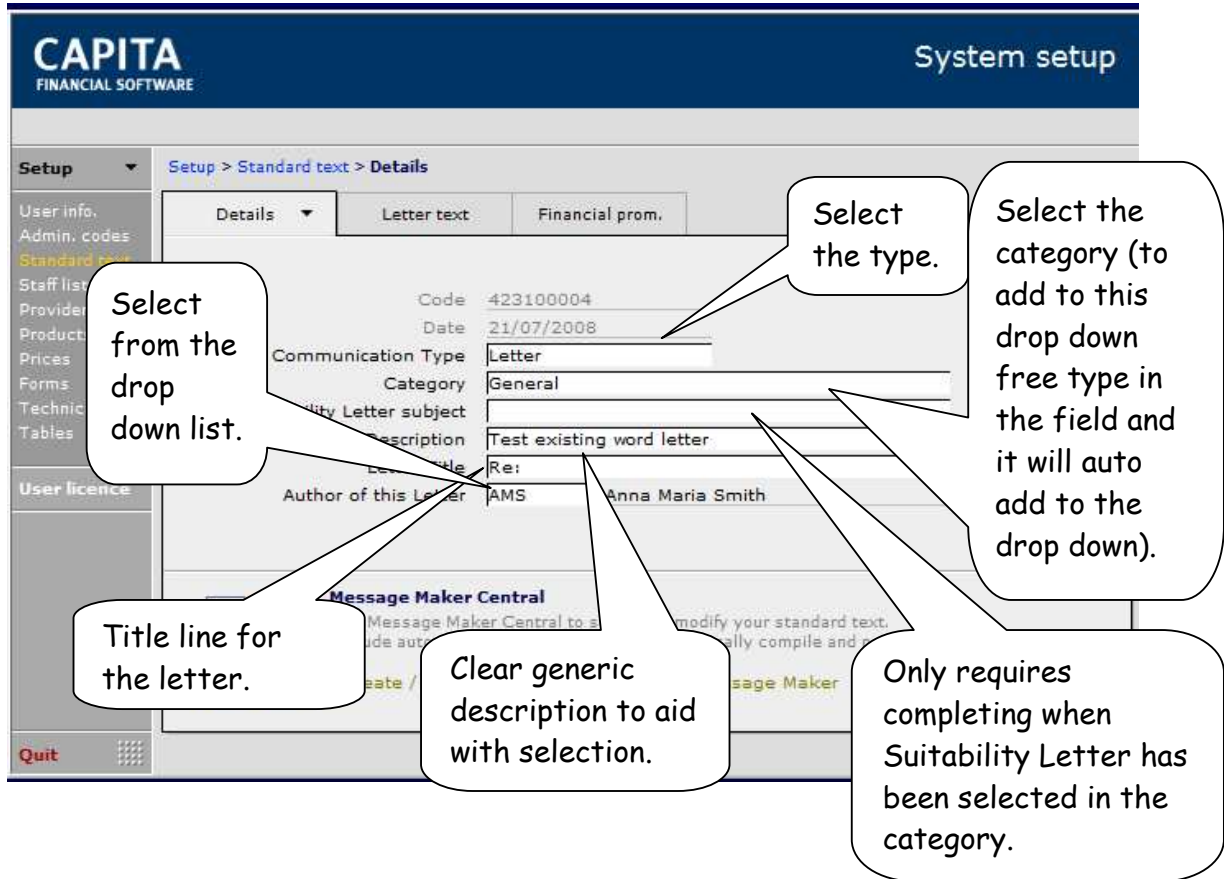
Setup > Standard text

Letters Adverts Auto-text Quick reports Financial review

Standard text + Add record

Communication	Communication type	Created
Change of address to provider	Letter	18/02/03
Change of Telephone Number	Letter	16/07/08
Confirmation of appointment	Letter	18/02/03
Policy Confirmation Letter	Letter	28/05/07
Test existing word letter	Letter	21/07/08





**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

Details Letter text Financial prom.

User info. Admin. codes Standard text Staff list Provider Product Prices Forms Technic Tables User licence

Code 423100004  
Date 21/07/2008  
Communication Type Letter  
Category General  
Letter subject  
Description Test existing word letter  
Re: Anna Maria Smith  
Author of this Letter AMS

Message Maker Central

Message Maker Central to a modify your standard text.  
ide aut ally compile and  
eate / sage Maker

Quit

Select from the drop down list.

Select the type.

Select the category (to add to this drop down free type in the field and it will auto add to the drop down).

Title line for the letter.

Clear generic description to aid with selection.

Only requires completing when Suitability Letter has been selected in the category.

Once all the details have been added go to the letter text tab.

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

COPY AND PASTE THE BODY OF A PREVIOUSLY SAVED LETTER HERE. Remember ONLY COPY AND PASTE THE MAIN BODY OF THE LETTER, NAME ADDRESS DATE AND SALUTATION WILL AUTO POPULATE FROM THE CLIENT FILE.

Next page

Quit

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

Please find enclosed your new policy documents. These documents are important and should be kept in a safe place.

If you have any further queries or questions please do not hesitate to contact me on 01279 756086.

Alison Street  
Training Consultant – Quay Software

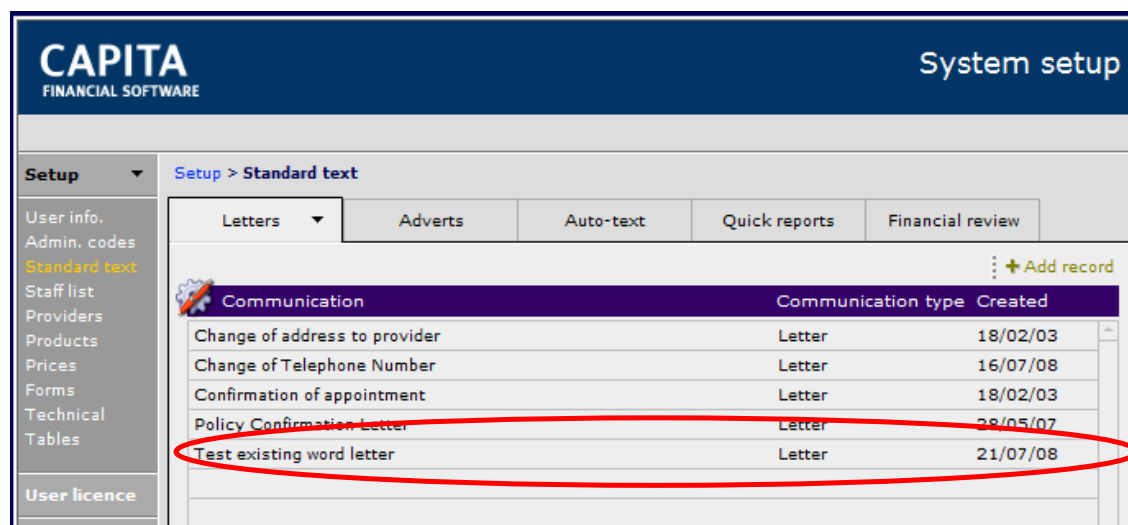
Capita Financial Software Ltd  
Thorley Wash Business Centre,  
Thorley Wash, Bishop's Stortford, Herts CM23 4AT

Tel Direct: +44 (0) 1279 756086  
Tel Mobile: +44 (0) 7929 007095  
Fax: +44 (0) 1279 659748  
Email: [Alison.Street@quaysoftware.co.uk](mailto:Alison.Street@quaysoftware.co.uk)  
Web: [www.quaysoftware.co.uk](http://www.quaysoftware.co.uk) [www.capitafinancialsoftware.co.uk](http://www.capitafinancialsoftware.co.uk)


Next page

Quit

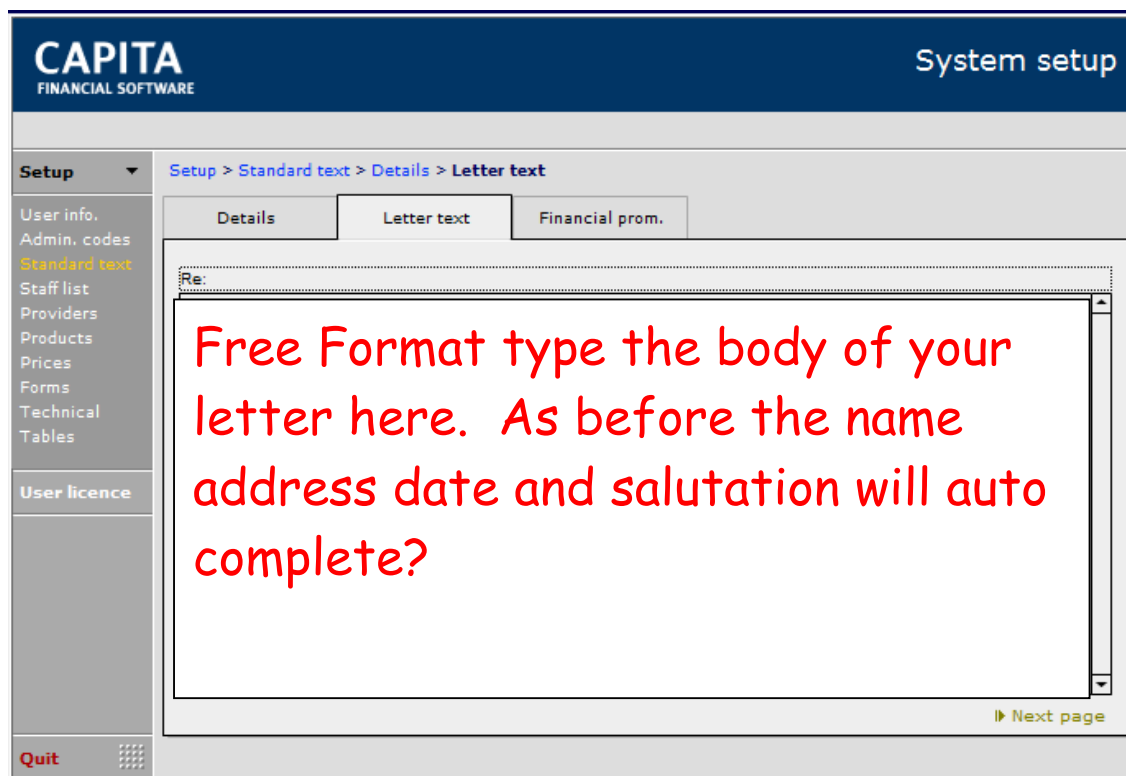
The letter is now available for selection in the clients/holdings module.



## 2.2. Type in a new standard letter

 [Add record](#)

And complete the letter identification fields as above.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details > Letter text

Details Letter text Financial prom.

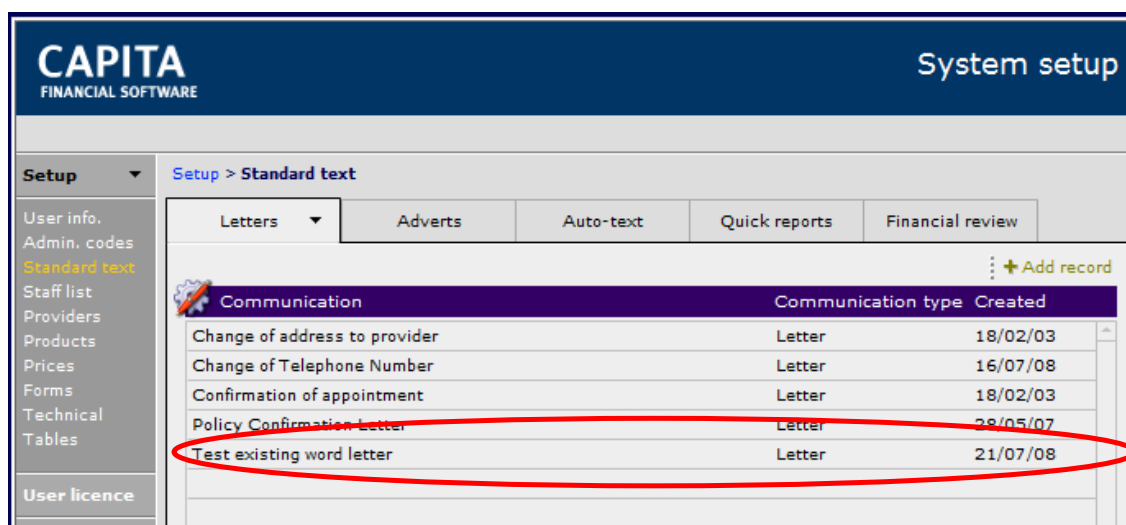
Re:

Free Format type the body of your letter here. As before the name address date and salutation will auto complete?

Next page

Quit

The letter is now available for selection in the clients/holdings module.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text

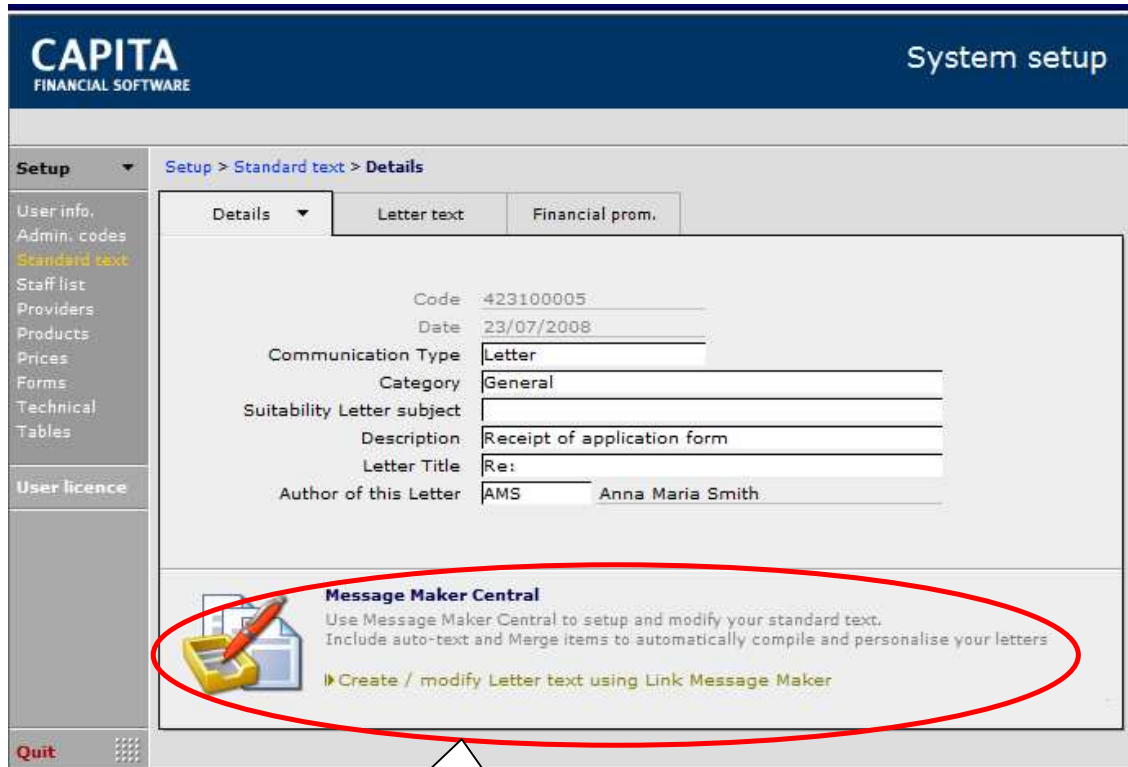
Letters Adverts Auto-text Quick reports Financial review

+ Add record

Communication	Communication type	Created
Change of address to provider	Letter	18/02/03
Change of Telephone Number	Letter	16/07/08
Confirmation of appointment	Letter	18/02/03
Policy Confirmation Letter	Letter	28/05/07
Test existing word letter	Letter	21/07/08

### 3. SETTING UP A LETTER USING MESSAGE MAKER

The advantages to using the message maker function in CCD is that information that has been entered on the clients or holding file can be inserted into a standard letter, individually tailoring standard letters.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

Details Letter text Financial prom.

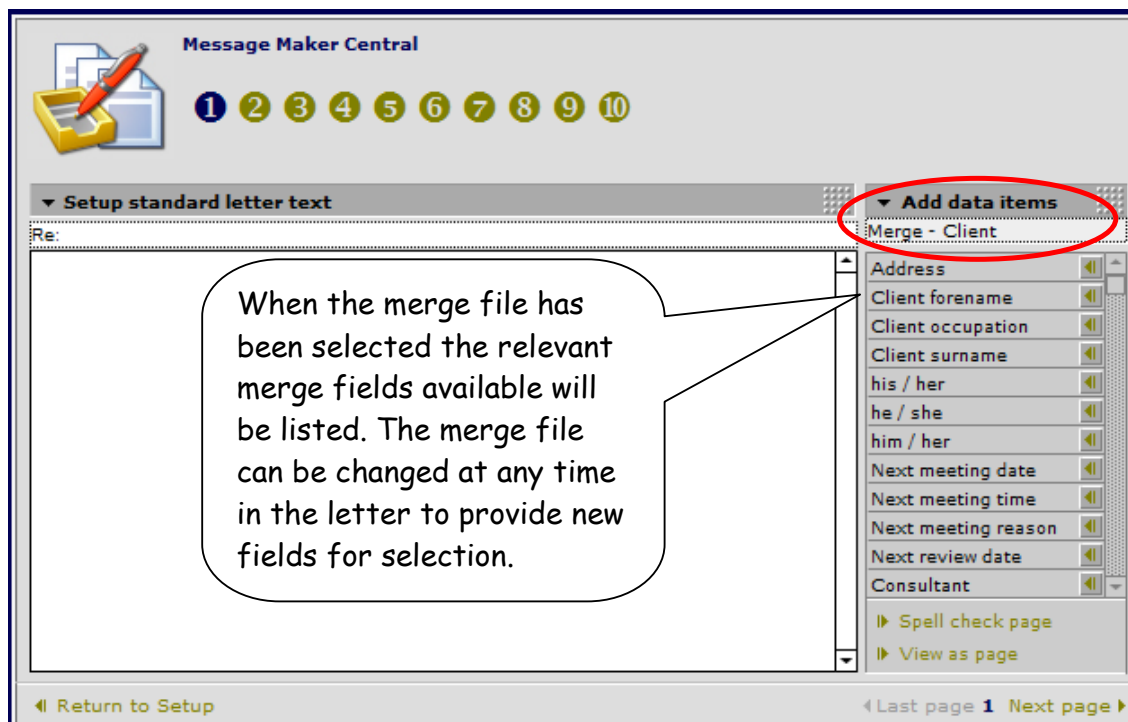
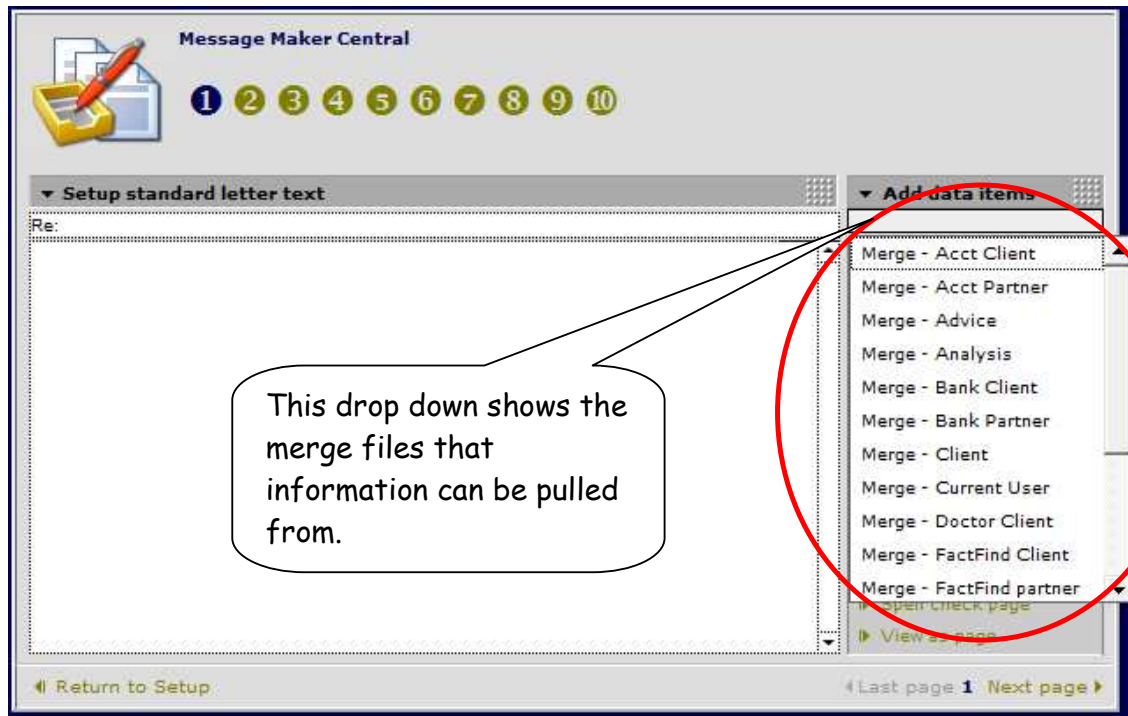
Code: 423100005  
Date: 23/07/2008  
Communication Type: Letter  
Category: General  
Suitability Letter subject:  
Description: Receipt of application form  
Letter Title: Re:  
Author of this Letter: AMS Anna Maria Smith

**Message Maker Central**  
Use Message Maker Central to setup and modify your standard text.  
Include auto-text and Merge items to automatically compile and personalise your letters  
▶ Create / modify Letter text using Link Message Maker

Complete the letter identification details above as before and then click onto the

▶ Create / modify Letter text using Link Message Maker

This will take you to the message maker screens.



Draft a copy of the letter that you want to save with merge fields so that you can decide which fields and where you require. This is a letter to confirm to the customer that you have received their application form for a mortgage.

The words in *italics* are the merge fields.

Re:/title - needs the *provider name* - *product type* - application.

I can confirm safe receipt of your "*provider name*" "*product type*" application form.

I have forwarded this to "*provider*" and will update you with the progress of this application.

If you have any further questions please do not hesitate to contact me on 01279 756086.

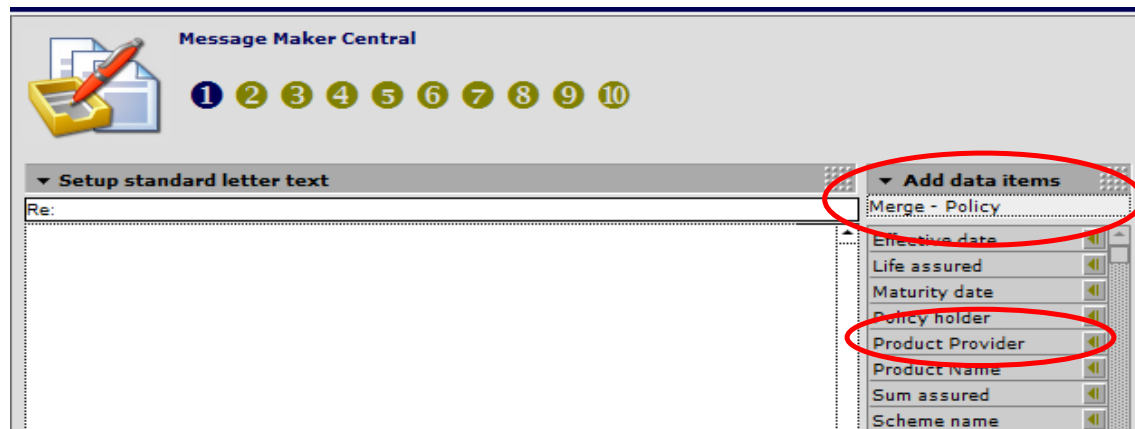
Yours sincerely

*Adviser name.*

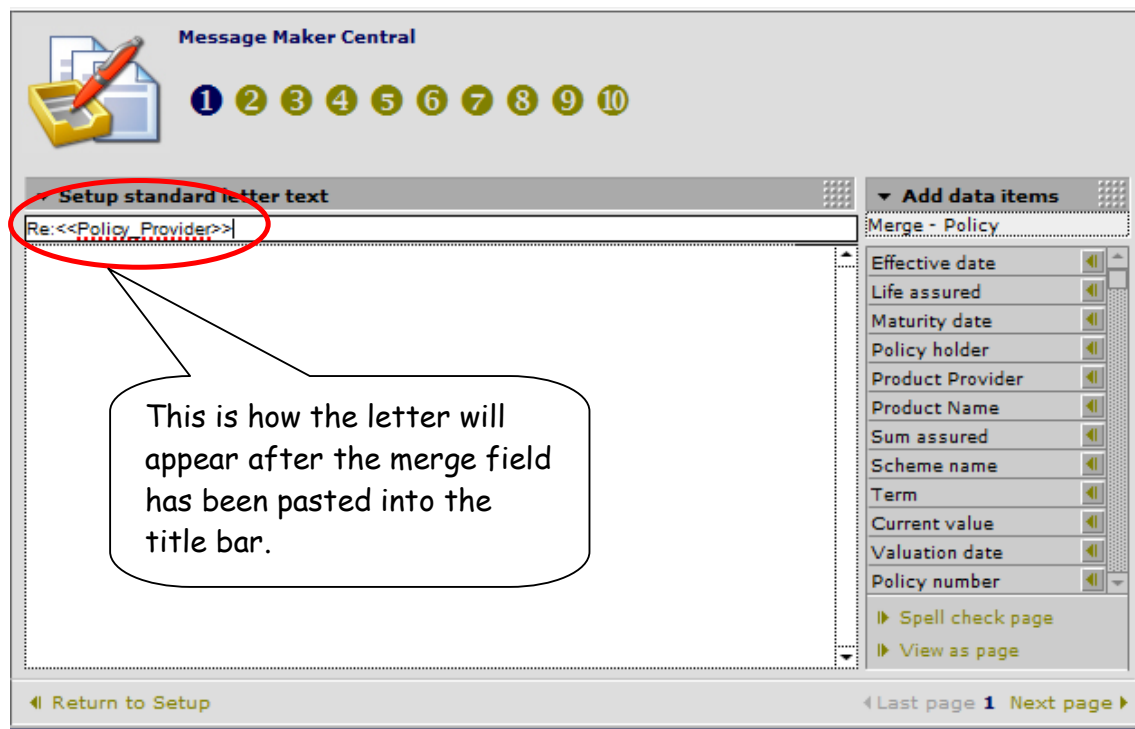
The first part of the letter is the title line, look at the information that you want to pull from the main CCD system and look down the list of merge files available to decide where this information will be stored. We want the provider name and product type. This information will be held in "policy" merge file. Select policy and then the merge fields available will show below the merge file



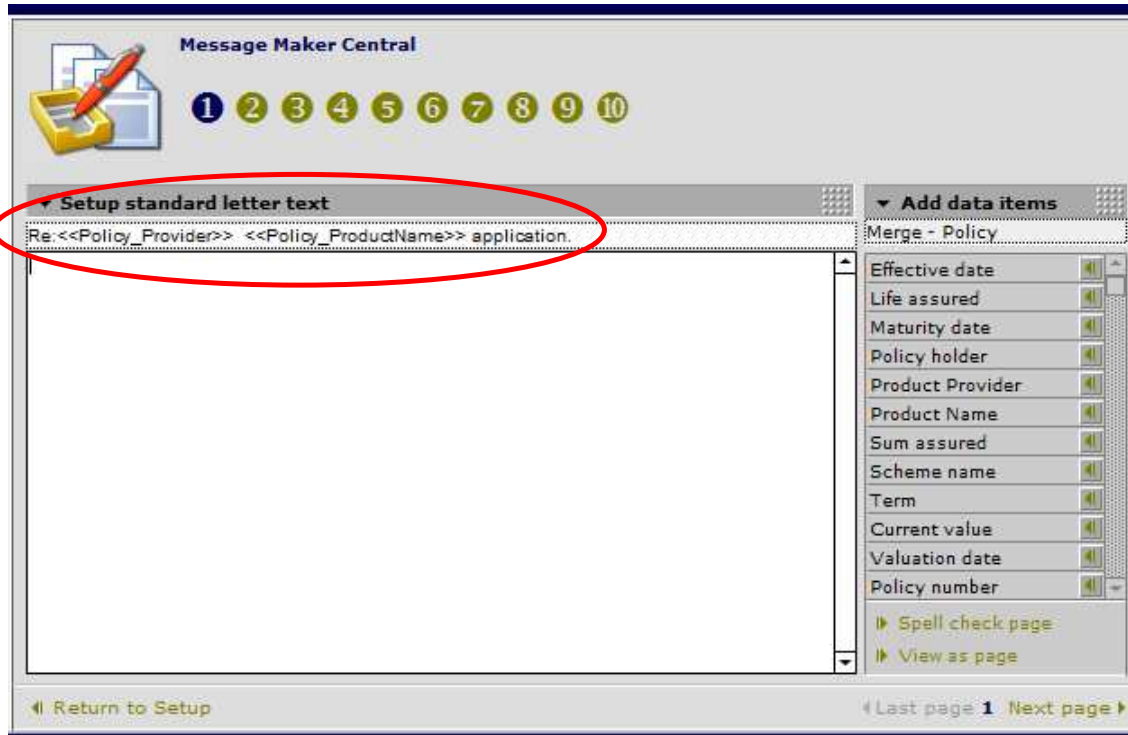
name.



Locate the merge field that you require (in this case it is the Product Provider) and click into the yellow/gold arrow to the right of the field name. Then place your cursor in the title line where you want the merge field inserted and right click and paste.

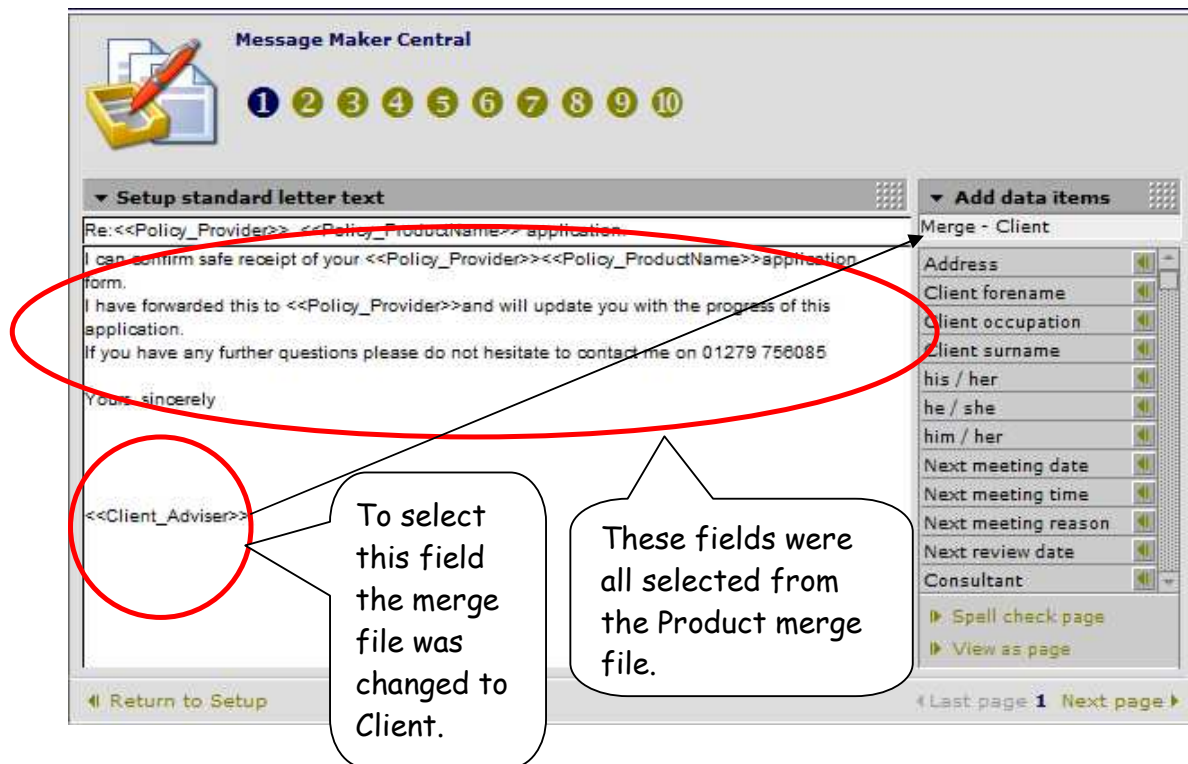


We now require the product name so repeat this process and then manually type application after the 2<sup>nd</sup> merge field has been added.



Now we have completed the title line, the body of the letter can be typed in. Remember there is no need to type or leave space for the name, address, date and salutation, CCD will insert this information automatically.

To insert a merge field in a letter as you type, unlike the title bar, there is no need to copy and paste the merge field, as you reach the place in the letter where the merge field is required just click onto the merge field name from the right hand drop down and it will place it in the letter where your cursor currently is, and you can continue to type.



This letter will now be saved and is available for selection.

The final way of setting up a standard letter is where you may have a word document saved with blank spaces that require information to be typed in. These letters can be copied and pasted into CCD and "merge fields" can then be inserted into the letter.

### 3.1. Copy of a letter saved in MS Word

Dear

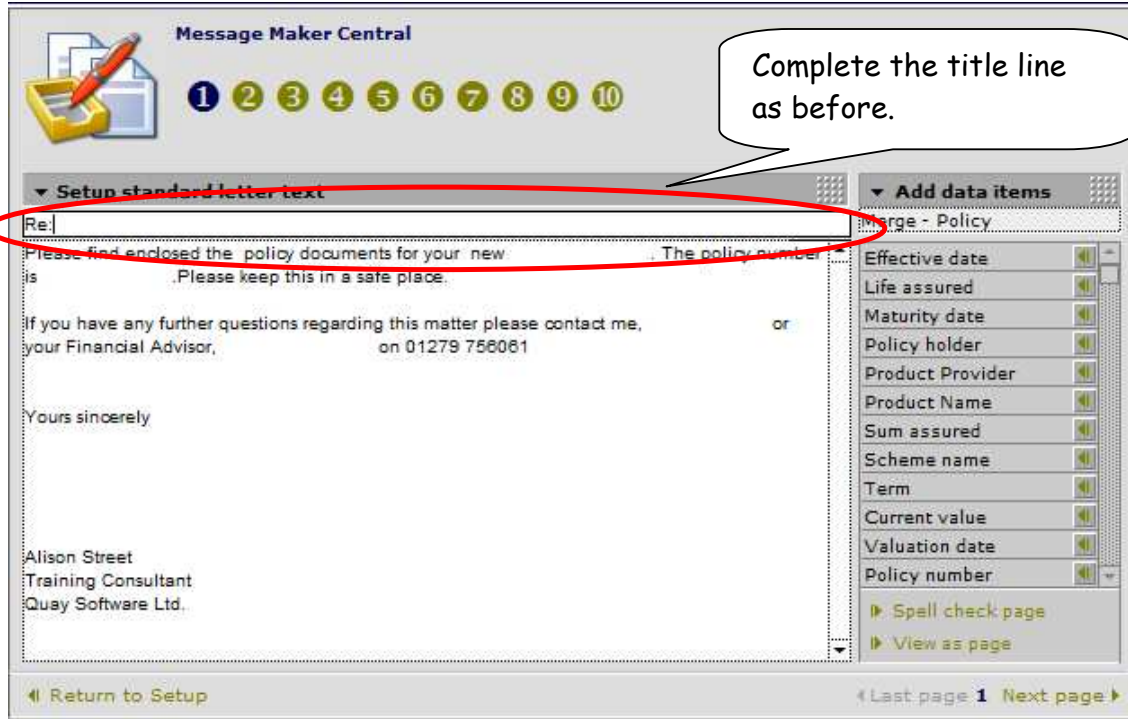
Please find enclosed the policy documents for your new . The policy number is . Please keep this in a safe place.

If you have any further questions regarding this matter please contact me, or your Financial Advisor, on 01279 756061

Yours sincerely

Alison Street  
Training Consultant

Copy and paste this letter into [Create / modify Letter text using Link Message Maker](#)



**Message Maker Central**

1 2 3 4 5 6 7 8 9 10

▼ Setup standard letter text

Re: Merge - Policy

Please find enclosed the policy documents for your new . The policy number is . Please keep this in a safe place.

If you have any further questions regarding this matter please contact me, or your Financial Advisor, on 01279 756061

Yours sincerely

Alison Street  
Training Consultant  
Quay Software Ltd.

▼ Add data items

Merge - Policy

Effective date

Life assured

Maturity date

Policy holder

Product Provider

Product Name

Sum assured

Scheme name

Term

Current value

Valuation date

Policy number

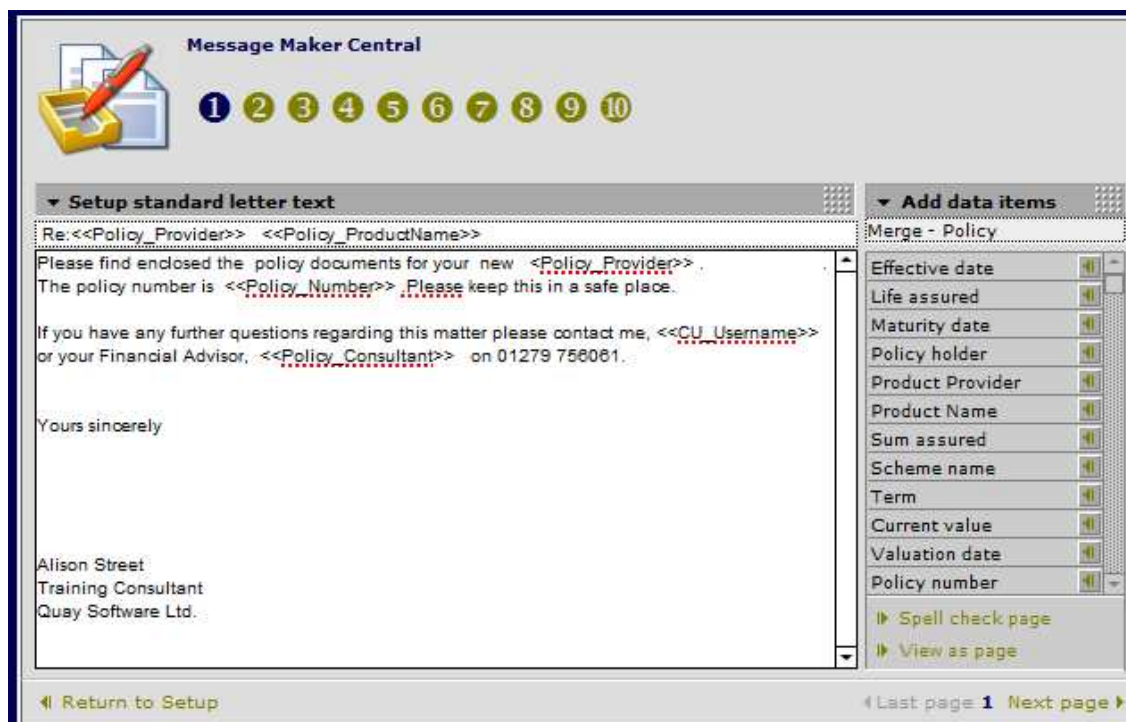
► Spell check page

► View as page

◀ Return to Setup

◀ Last page 1 Next page ▶

To insert the merge fields into the blank spaces in the body of the letter use the same method as when a field is inserted into the title line. Select the field you wish to merge, click onto the gold arrow, and place the cursor where you want the field to be inserted right click and copy.



**Message Maker Central**

1 2 3 4 5 6 7 8 9 10

▼ Setup standard letter text

Re: <<Policy\_Provider>> <<Policy\_ProductName>>

Please find enclosed the policy documents for your new <<Policy\_Provider>> .  
The policy number is <<Policy\_Number>> . Please keep this in a safe place.

If you have any further questions regarding this matter please contact me, <<CU\_Username>>  
or your Financial Advisor, <<Policy\_Consultant>> on 01279 756061.

Yours sincerely

Alison Street  
Training Consultant  
Quay Software Ltd.

▼ Add data items

Merge - Policy

Effective date	<>
Life assured	<>
Maturity date	<>
Policy holder	<>
Product Provider	<>
Product Name	<>
Sum assured	<>
Scheme name	<>
Term	<>
Current value	<>
Valuation date	<>
Policy number	<>

► Spell check page  
► View as page

◀ Return to Setup

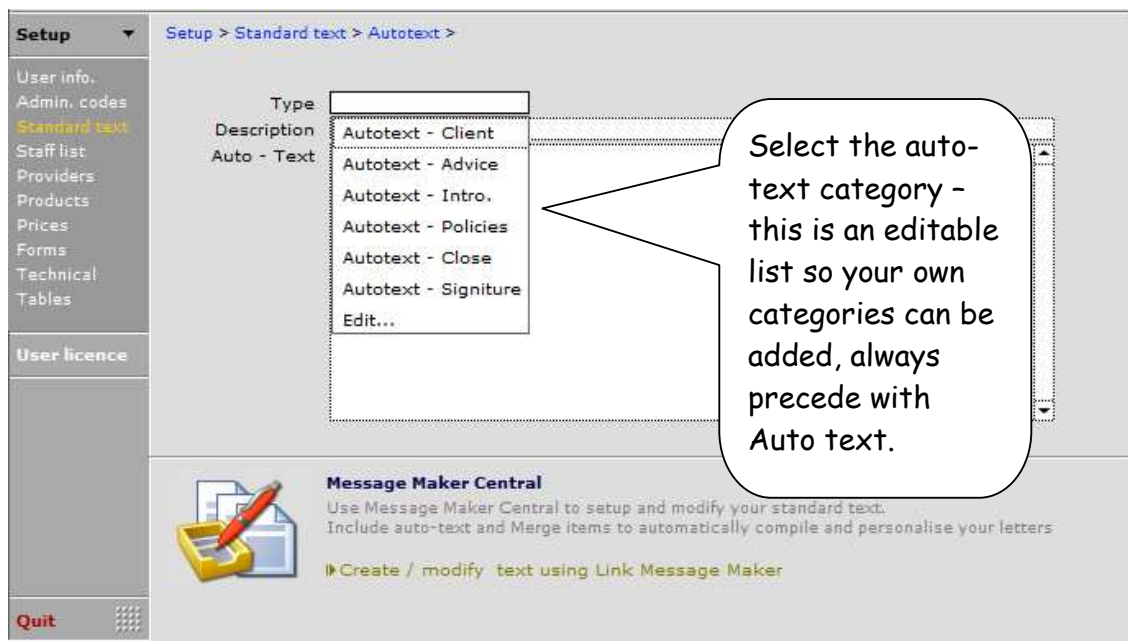
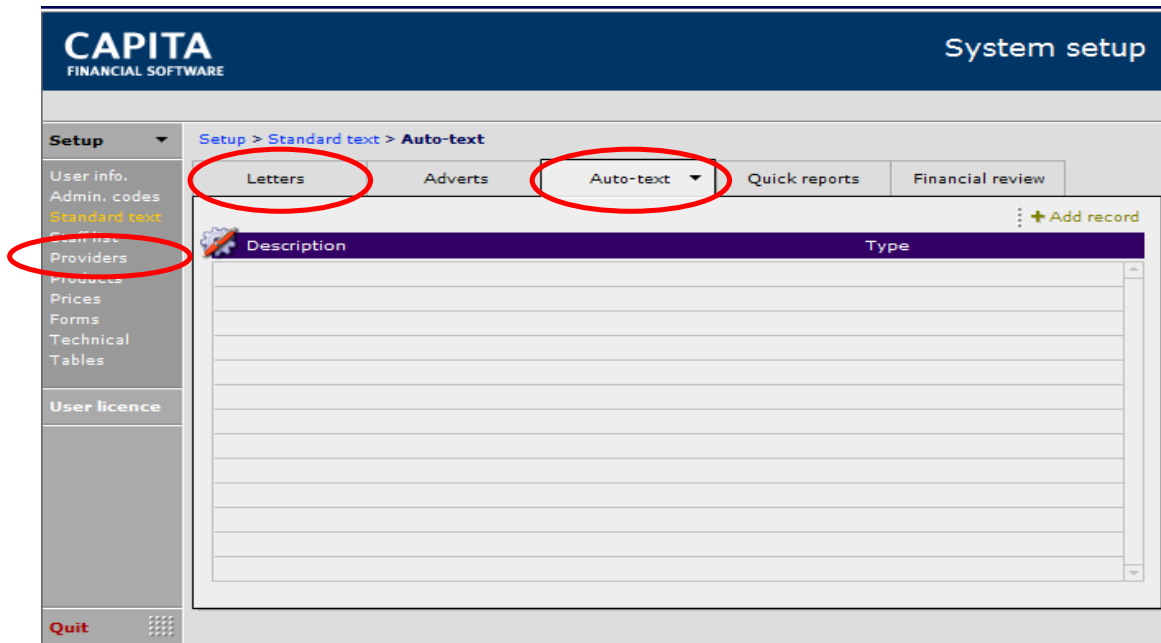
◀ Last page 1 Next page ▶

## 4. AUTO-TEXT

An auto-text is a line or paragraph of text, which is used regularly.

Instead of manually typing the text each time, it can be recorded as a standard in the system and then added as required to your letter.

To add an Auto-text got to Set-up - standard text - Auto-text.



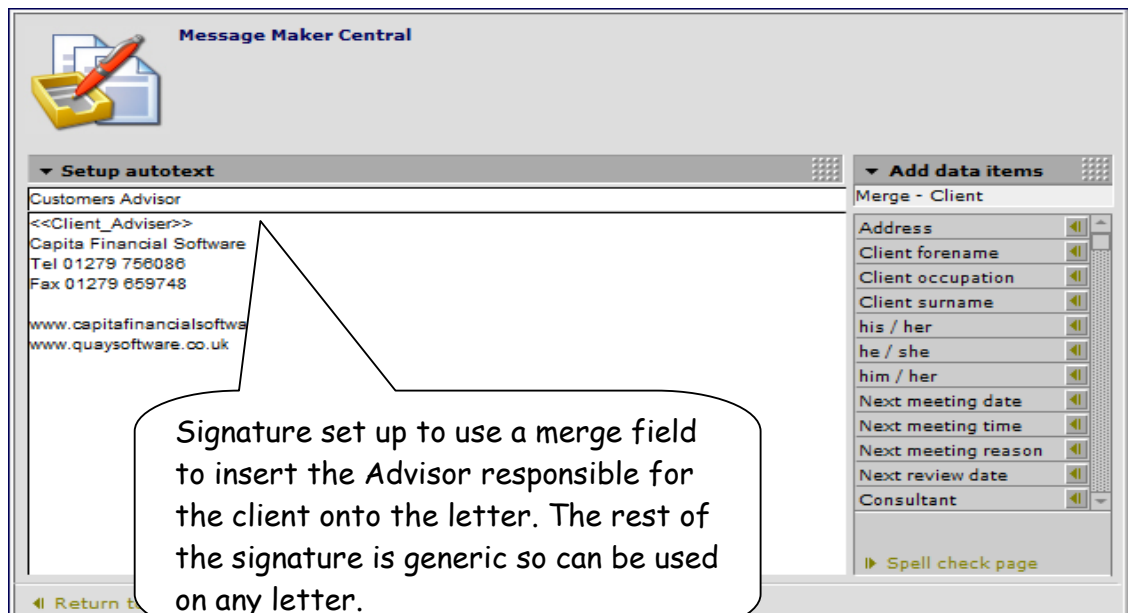
As with letters there are 2 methods of creating auto-text, copy and paste or free type into the main Auto-text box or use the [Create / modify text using Link Message Maker](#) link to add merge fields to a standard paragraph or sentence.



## 4.1. Copy and paste or free format type



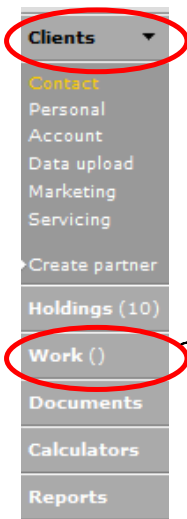
► Create / modify text using Link Message Maker



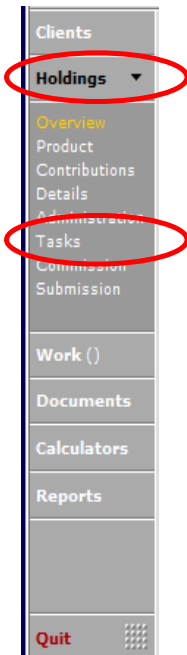


## 5. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS

If you wish to produce a letter for your client, firstly find the client in question and if the letter is not linked to 1 particular policy go to Work in the client record. If the letter is to be linked to a specific holding/policy then go to the holding in question and enter the Tasks area of the holding.

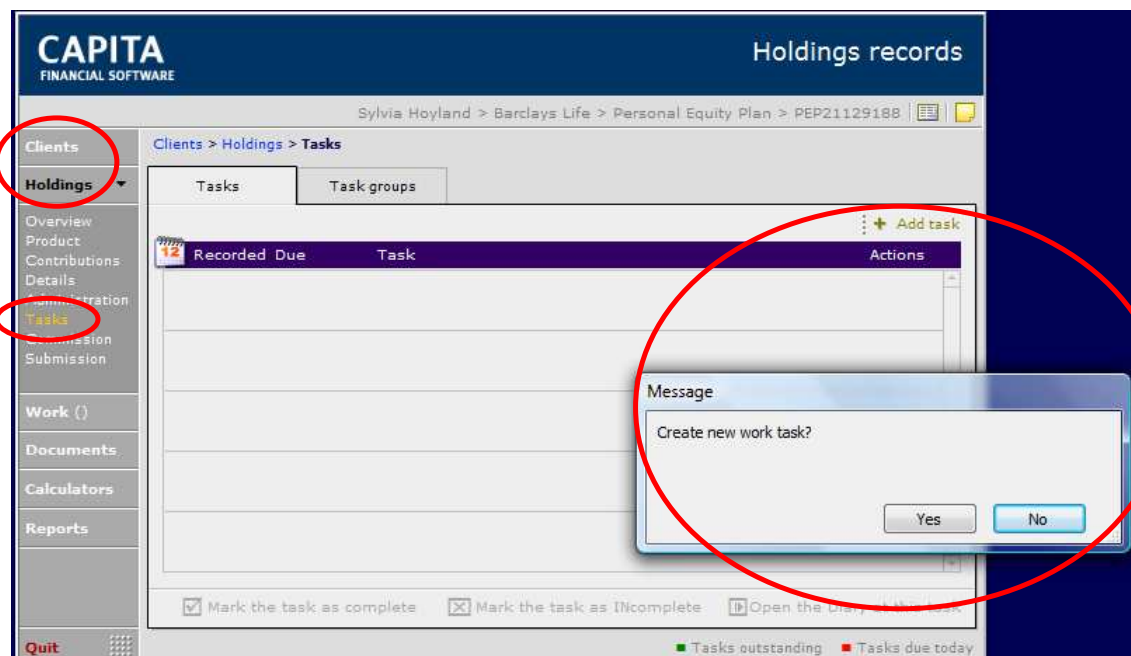



Enter here if the letter is not linked to a specific holding.

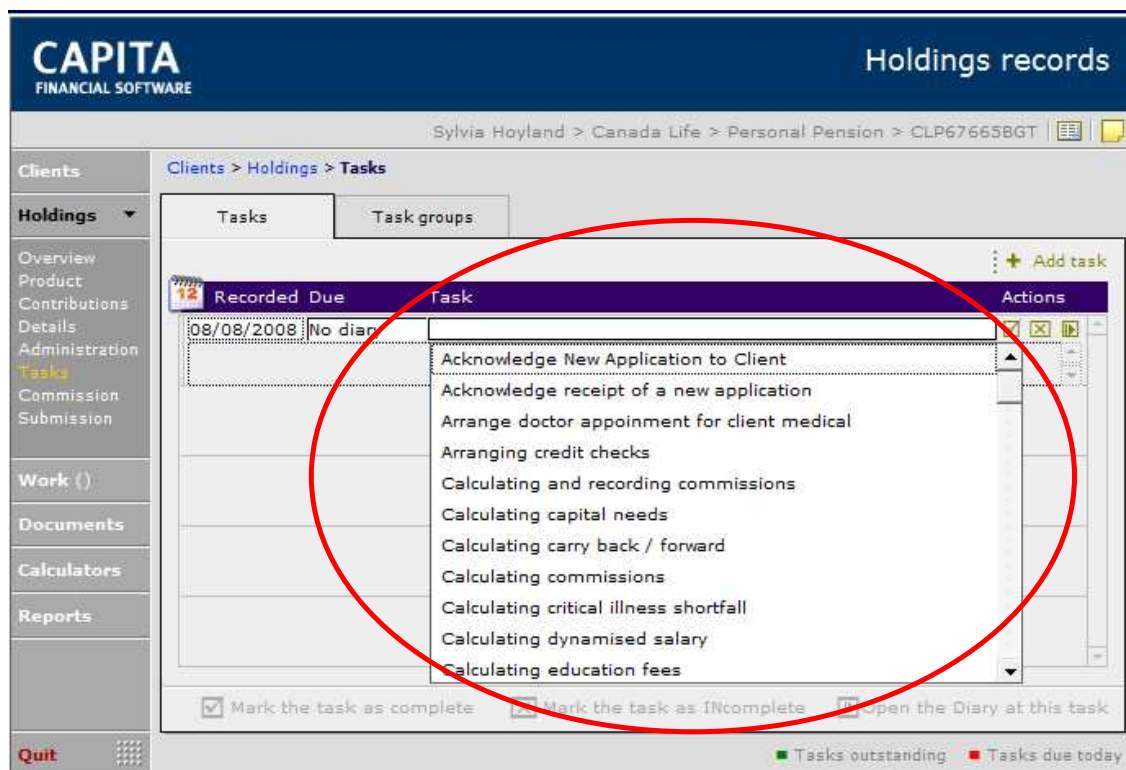


Enter here if the letter is to be linked to a specific holding/policy.

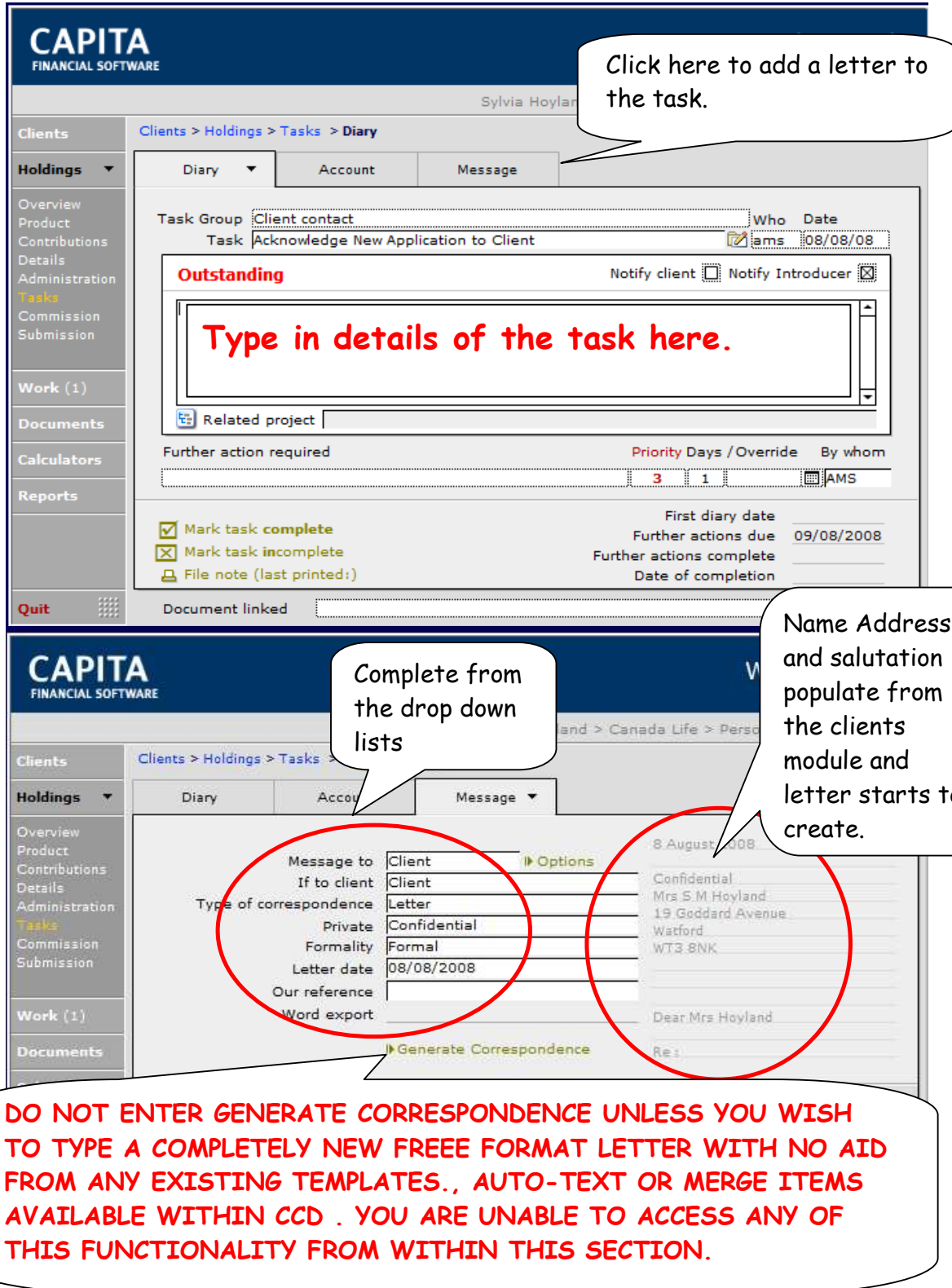
## 5.1. Entering a letter against a holding



Select the task to be performed from the drop down list. Use the  to enter the full details and to access the letter tab.



To produce any type of correspondence relating to this task enter the Message tab.



**CAPITA**  
FINANCIAL SOFTWARE

Sylvia Hoyland

Clients > Holdings > Tasks > Diary

Diary Account Message

Task Group Client contact Who Date  
Task Acknowledge New Application to Client [X]ams 08/08/08

**Outstanding** Notify client ☐ Notify Introducer ☒

**Type in details of the task here.**

Related project

Further action required Priority Days / Override By whom  
3 1 AMS

☒ Mark task complete  
☒ Mark task incomplete  
☐ File note (last printed:)

First diary date  
Further actions due 09/08/2008  
Further actions complete  
Date of completion

Quit Document linked

**CAPITA**  
FINANCIAL SOFTWARE

Clients > Holdings > Tasks > Message

Message to Client  
If to client Client  
Type of correspondence Letter  
Private Confidential  
Formality Formal  
Letter date 08/08/2008  
Our reference  
Word export

Options

8 August 2008  
Confidential  
Mrs S.M. Hoyland  
19 Geddard Avenue  
Watford  
WT3 8NK  
Dear Mrs Hoyland  
Re:

Generate Correspondence

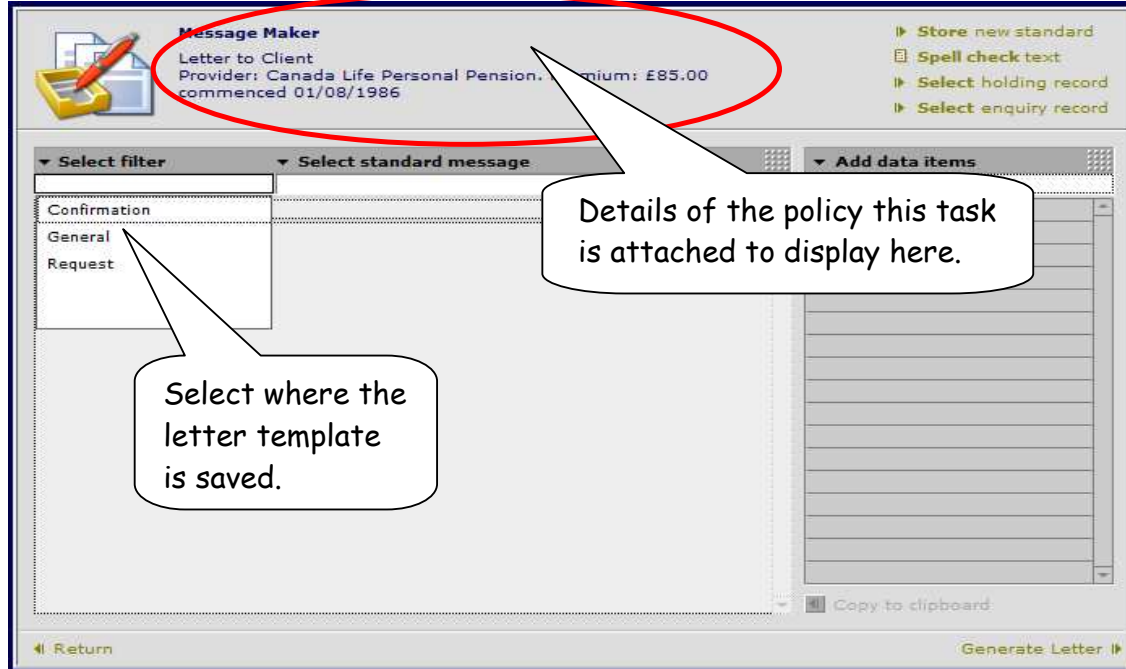
**DO NOT ENTER GENERATE CORRESPONDENCE UNLESS YOU WISH TO TYPE A COMPLETELY NEW FREE FORMAT LETTER WITH NO AID FROM ANY EXISTING TEMPLATES., AUTO-TEXT OR MERGE ITEMS AVAILABLE WITHIN CCD . YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION.**

By going into [Use Message Maker](#) at the bottom of the screen you can access your letter templates (from Setup), merge items and Auto-texts, or type a new letter.

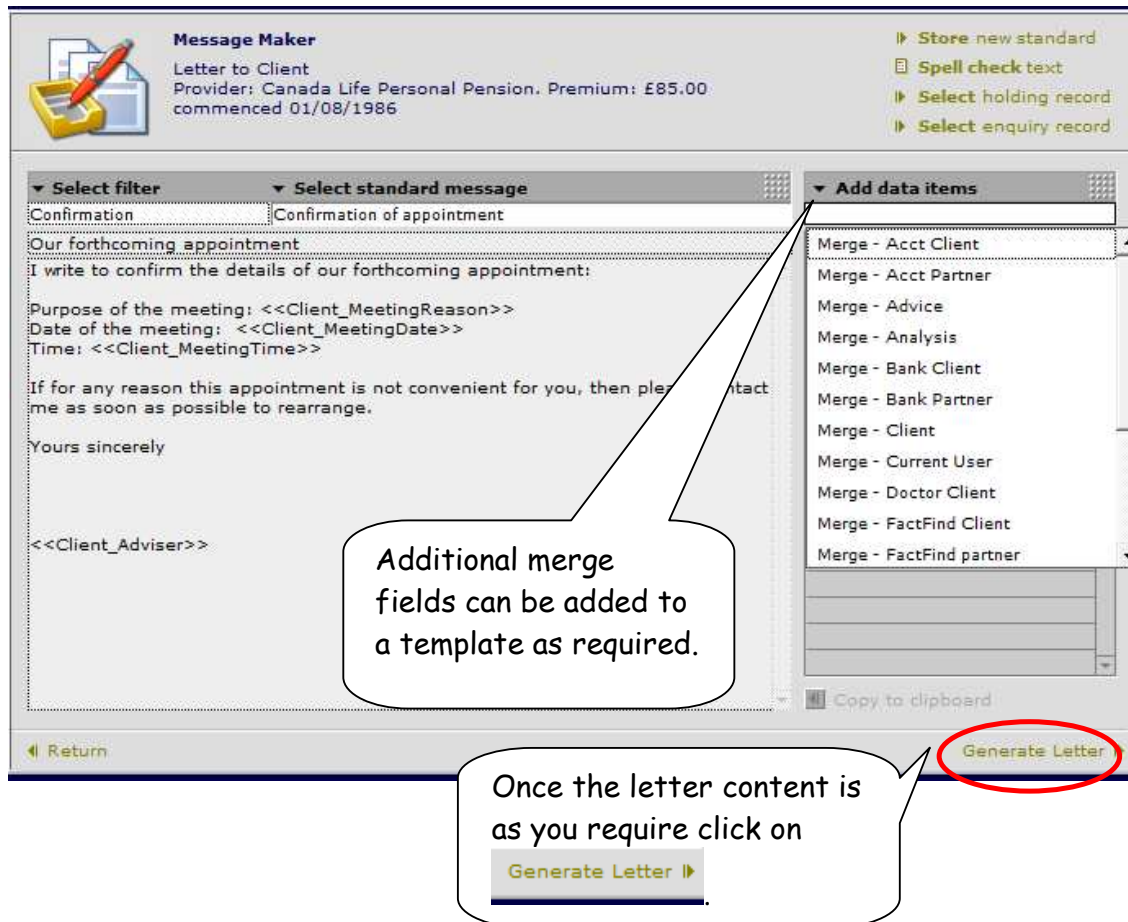


The screenshot shows the CAPITA Financial Software interface. The top header displays 'CAPITA FINANCIAL SOFTWARE' and 'Work records'. The breadcrumb trail indicates the user is in 'Sylvia Hoyland > Canada Life > Personal Pension'. The left sidebar contains a navigation menu with options like 'Clients', 'Holdings', 'Overview', 'Product', 'Contributions', 'Details', 'Administration', 'Tasks', 'Commission', and 'Submission'. The main content area is titled 'Clients > Holdings > Tasks > Diary > Message'. It features a 'Message' tab and a form for creating a message. The form includes fields for 'Message to', 'If to client', 'Type of correspondence', 'Private', 'Formality', 'Letter date', 'Our reference', and 'Word export'. A 'Generate Correspondence' button is visible. Below the form, the 'Message Maker' section is highlighted, containing an icon of a notepad and pencil, and the text: 'Use Message Maker to include and modify standard text. Use auto-text and Merge items to automatically personalise your letters.' The link 'Use Message Maker' is circled in red.

By selecting the Select filter you can search the folders that your letters are saved in.



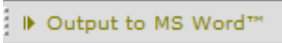
Now select the letter that you want to use.



Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

NB. If you asked for CCD to insert information that you have-not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

When you are happy with your letter the last stage is to adjust the font style, size and colour to suit your company branding.

This is done by clicking on 



Return    Copy letter to clipboard    **Output to MS Word™**

8 August 2008

Confidential  
Mrs S M Hoyland  
19 Goddard Avenue  
Watford  
WT3 8NK

Dear Sylvia

Our forthcoming appointment

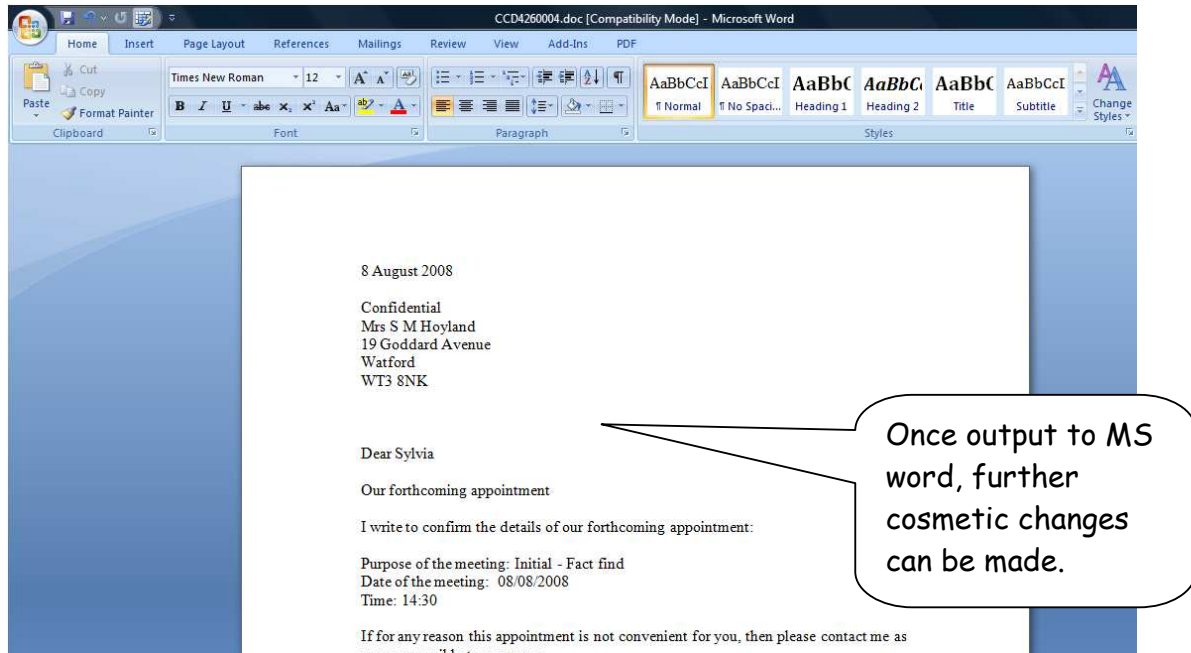
I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: Initial - Fact find  
Date of the meeting: 08/08/2008  
Time: 14:30

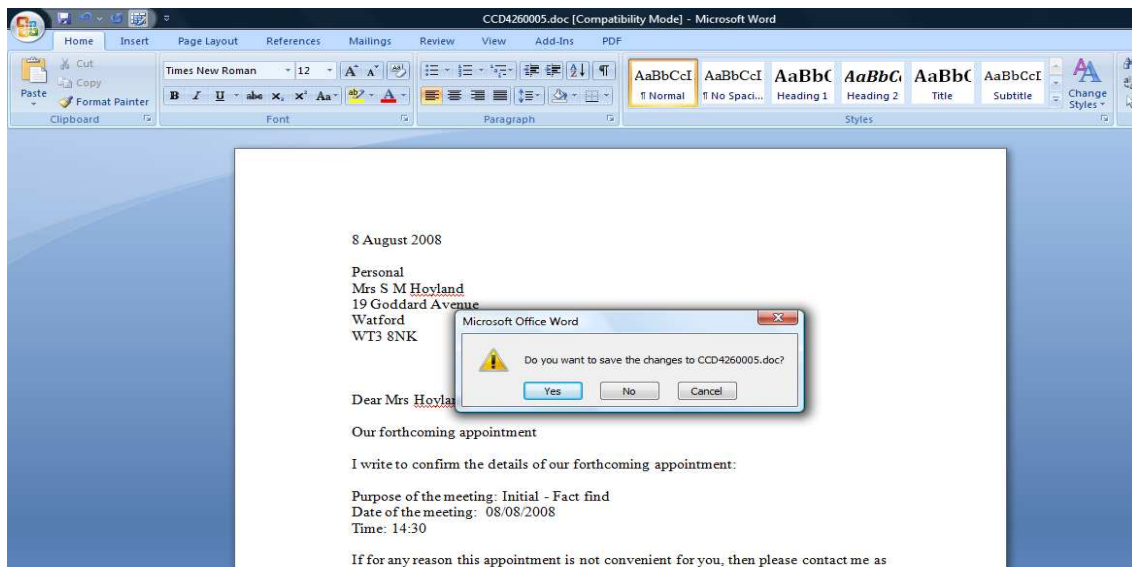
If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Clive McDonough



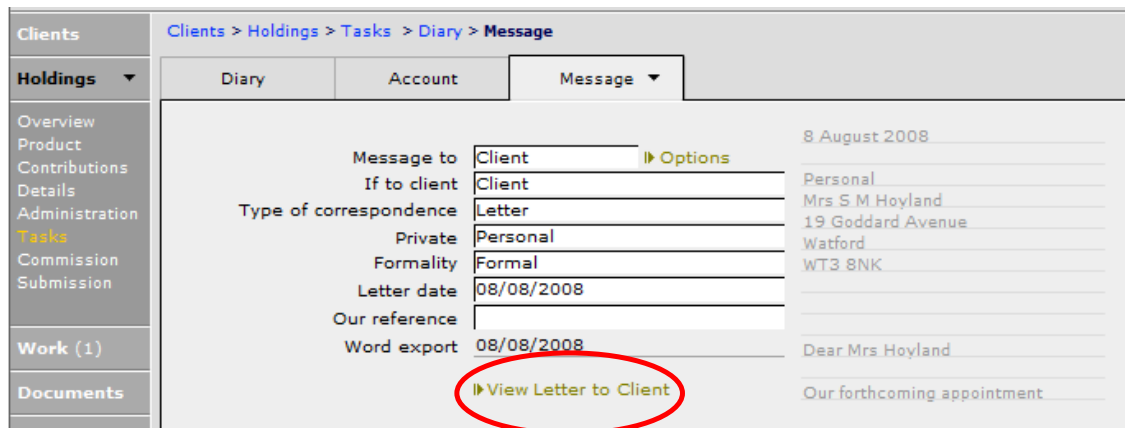
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



## 5.2. Viewing letters via Tasks

Should you wish to revisit your client's letter at any time simply retrace your steps from the front page of CCD

- Find your client
- Find the holding that the task/letter relates to
- Enter the holding
- Click on Tasks
- Enter the message tab.
- Click on View Letter to Client



Clients > Holdings > Tasks > Diary > Message

Holdings ▾

Diary Account Message ▾

Overview  
Product  
Contributions  
Details  
Administration  
Tasks  
Commission  
Submission

Work (1)  
Documents

Message to Client [Options](#)

If to client Client

Type of correspondence Letter

Private Personal

Formality Formal

Letter date 08/08/2008

Our reference

Word export 08/08/2008

[View Letter to Client](#)

8 August 2008

Personal  
Mrs S M Hoyland  
19 Goddard Avenue  
Watford  
WT3 8NK

Dear Mrs Hoyland

Our forthcoming appointment

This will then display the MS Word copy of the letter.

## 5.3. Entering a Letter against the Client

If you wish to send a letter to your client but you cannot be specific as to which holding this correspondence refers to, you will need to create and save your letter via your clients general work section.

To produce a letter from the work section of your clients file firstly locate the relevant client and select work from the main client menu.

**CAPITA**  
FINANCIAL SOFTWARE

Client records

Add record Find record List records My notes

**Clients** ▼ Clients

Contact Postal address Scanned docs. Goals Overview

Client type Individual Client Ref.

Title / Initial / Surname Mrs S M Hoyland

Forename/s Sylvia Mary

Salutation Sylvia [Auto fill](#)

Qualification / Honours

Company name

Email address  [Send mail](#)

Telephone home 01285 277622 Fax home

Telephone work 01285 567567 Fax work

Mobile telephone  Contact Evenings

Current status Prospect Method Telephone

Do not mailshot client ☐ Do not share client data ☐

**Client Source**

Intro. date / source 17/08/2006 Cold calling

Introducer No introducer [More](#)

Employer [More](#)

Consultant Clive McDonough [More](#)

Service manager [More](#)

Quit

Created: 17/08/2006 By: AMS Last modified: 08/08/2008 by: ams

**CAPITA**  
FINANCIAL SOFTWARE

Work records

Sylvia Hoyland

Clients Holdings (10) Work

Clients > Work

Outstanding All tasks Groups Tracker set-up

[Add record](#)

Task	User	Action by	Status	Relates to
Corresponding with the client	AMS	09/08/08	Outstanding	Policy

Message

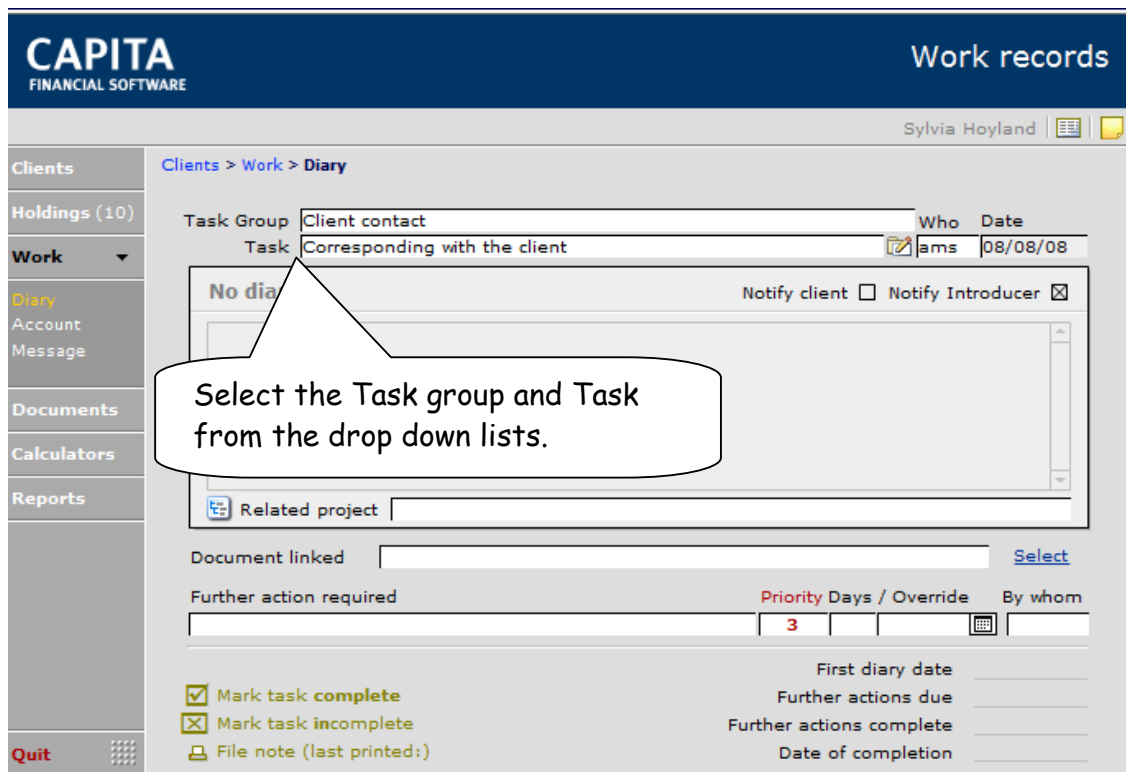
Do you wish to create a new Work log entry for the current client?

Yes No

Task group All group tasks shown - click here to filter

Quit

Correspondence attached Switch to Relevant section > Diary



**CAPITA**  
FINANCIAL SOFTWARE

Work records

Sylvia Hoyland

Clients > Work > Diary

Task Group Client contact

Task Corresponding with the client

Who ams Date 08/08/08

No diary

Notify client ☐ Notify Introducer ☒

Related project

Document linked

Further action required

Priority Days / Override By whom

3

First diary date

Further actions due

Further actions complete

Date of completion

☒ Mark task complete  
☒ Mark task incomplete  
☐ File note (last printed:)

Quit

To produce any type of correspondence relating to this task enter the Message option on the left hand side.

CAPITA  
FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients

Holdings (4)

Work

Diary

Account

Message

Documents

Calculators

Reports

Quit

Clients > Work > Diary

Task Group

Client contact

Who

ams

Date

10/08/08

Task

Confirmation of appointment

Notify client

Notify Introducer

Click here to add a letter to the task.

Type in details of the task here.

Related project

Document linked

Select

Further action required

Priority

Days / Override

By whom

3

AMS

Mark task complete

Mark task incomplete

File note (last printed:)

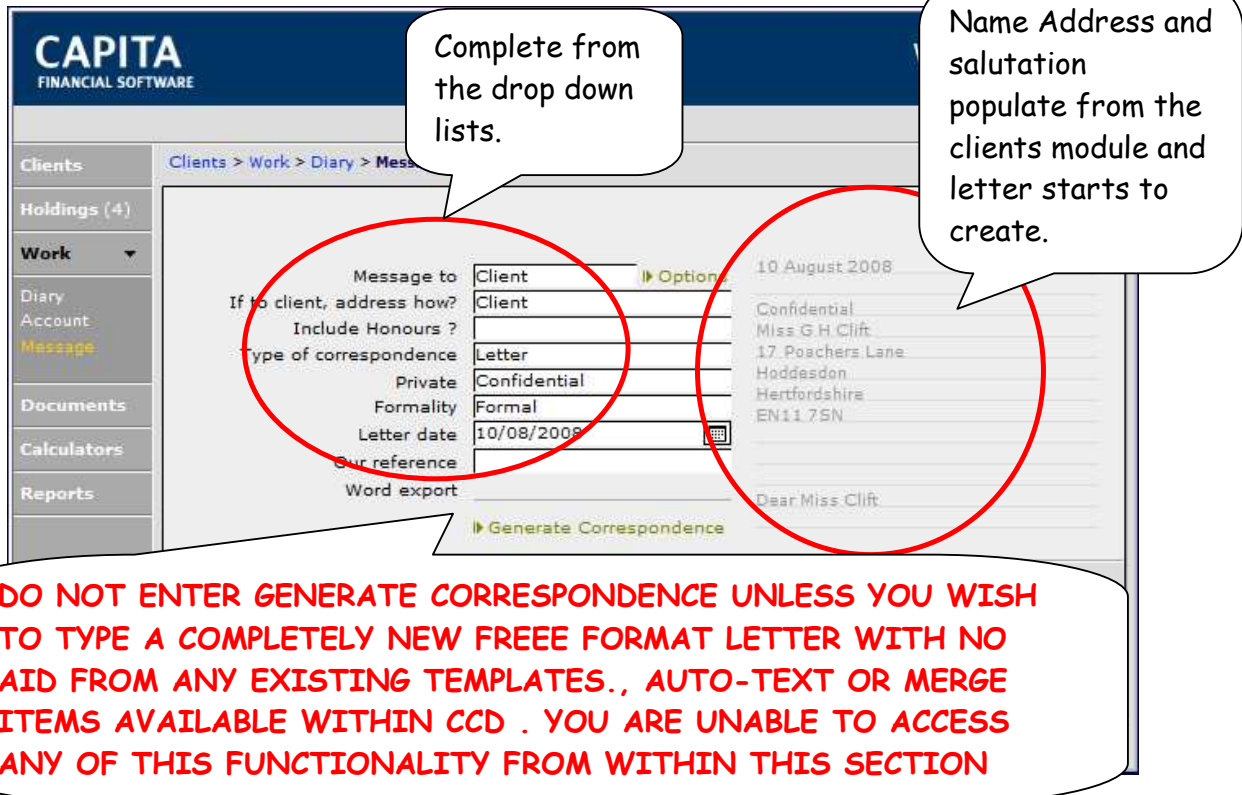
First diary date

Further actions due

Further actions complete

Date of completion

10/08/2008



**Complete from the drop down lists.**

**Name Address and salutation populate from the clients module and letter starts to create.**

**DO NOT ENTER GENERATE CORRESPONDENCE UNLESS YOU WISH TO TYPE A COMPLETELY NEW FREEE FORMAT LETTER WITH NO AID FROM ANY EXISTING TEMPLATES., AUTO-TEXT OR MERGE ITEMS AVAILABLE WITHIN CCD . YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION**

By going into [Use Message Maker](#) at the bottom of the screen you can access your letter templates (from Setup), merge items and Auto-texts, or type a new letter.



CAPITA

FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients

Clients > Work > Diary > Message

Holdings (4)

Work

Diary

Account

Message

Documents

Calculators

Reports

Message to

Client

Options

If to client, address how?

Client

Include Honours ?

Type of correspondence

Letter

Private

Confidential

Formality

Formal

Letter date

10/08/2008

Our reference

Word export

Generate Correspondence

10 August 2008

Confidential

Miss G.H Clift

17 Poachers Lane

Hoddesdon

Hertfordshire

EN11 7SN

Dear Miss Clift

Message Maker

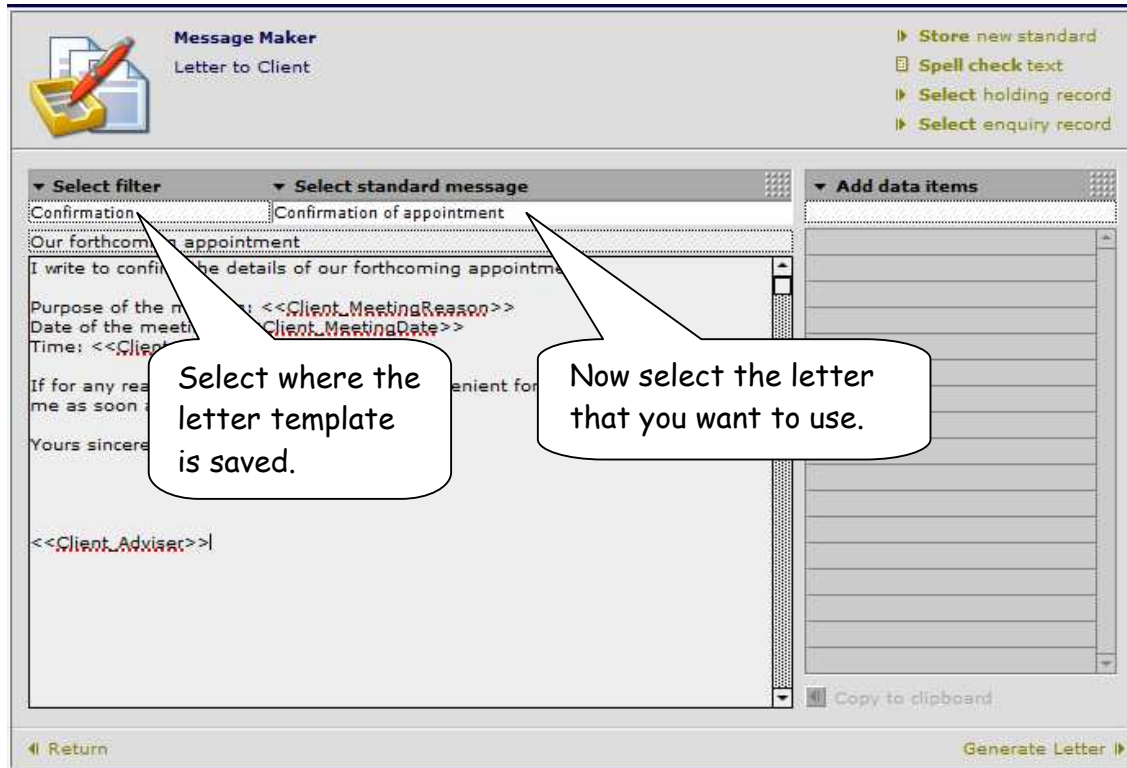
Use Message Maker to include and modify standard text.

Use auto-text and Merge items to automatically personalise your letters.

Use Message Maker

Quit

By selecting the Select filter you can search the folders that your letters are saved in.



**Message Maker**  
Letter to Client

- Store new standard
- Spell check text
- Select holding record
- Select enquiry record

▼ Select filter    ▼ Select standard message    ▼ Add data items

Confirmation    Confirmation of appointment

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>

If for any reason this appointment is inconvenient for you, please contact us as soon as possible to rearrange.

Yours sincerely

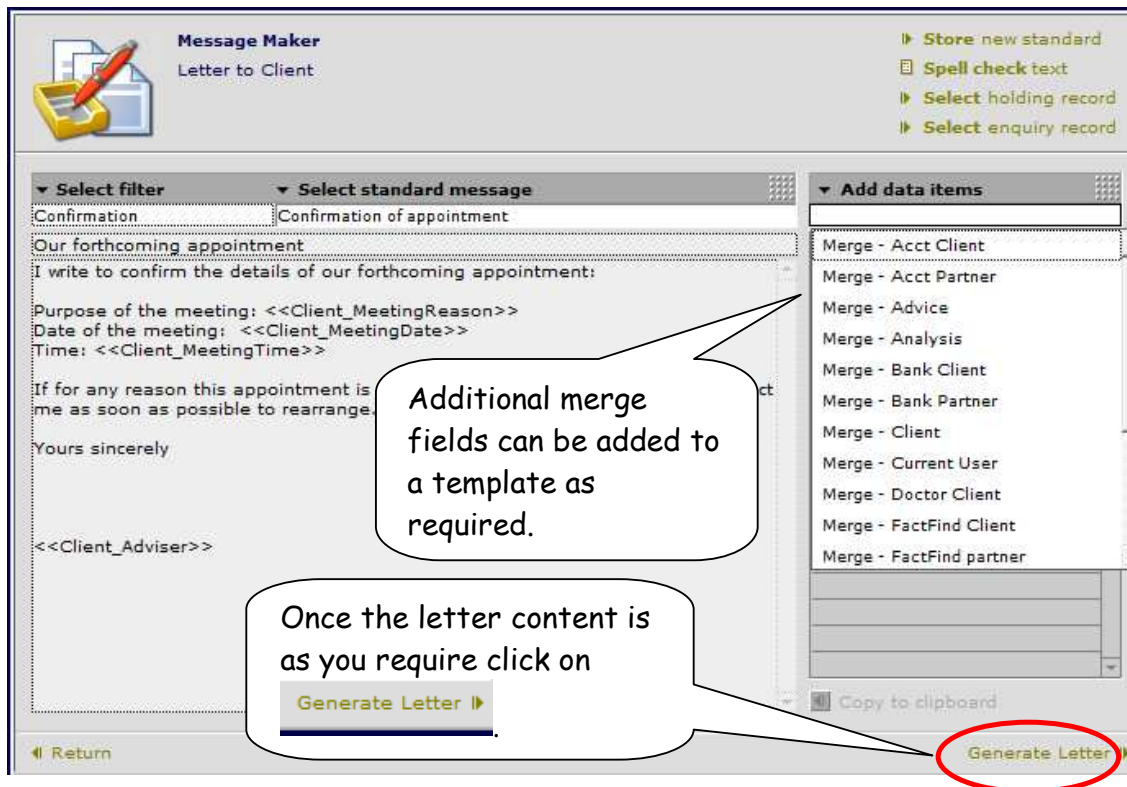
<<Client\_Adviser>>

Copy to clipboard

Return    Generate Letter

Select where the letter template is saved.

Now select the letter that you want to use.



**Message Maker**  
Letter to Client

- Store new standard
- Spell check text
- Select holding record
- Select enquiry record

▼ Select filter    ▼ Select standard message    ▼ Add data items

Confirmation    Confirmation of appointment

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>

If for any reason this appointment is inconvenient for you, please contact us as soon as possible to rearrange.

Yours sincerely

<<Client\_Adviser>>

Copy to clipboard

Return    Generate Letter

Additional merge fields can be added to a template as required.

Once the letter content is as you require click on

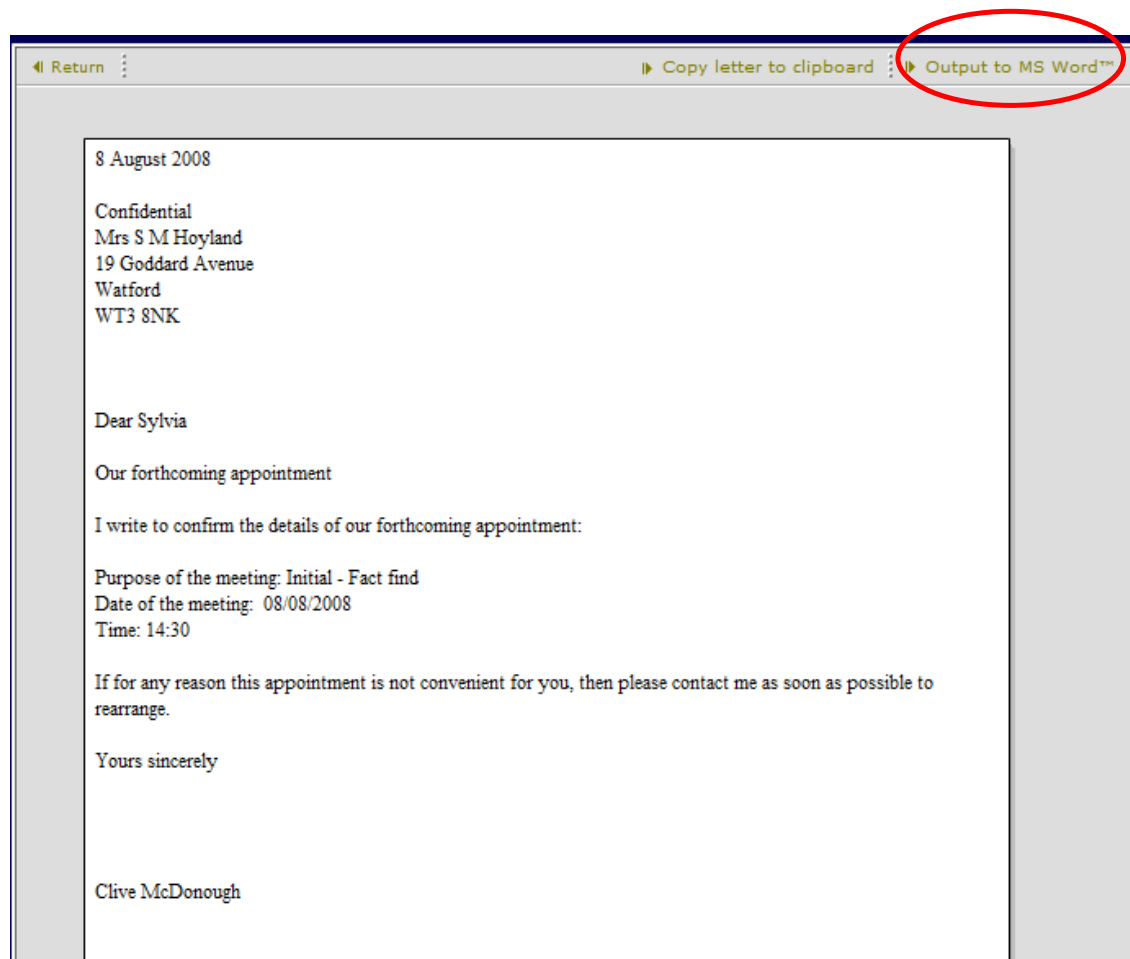
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

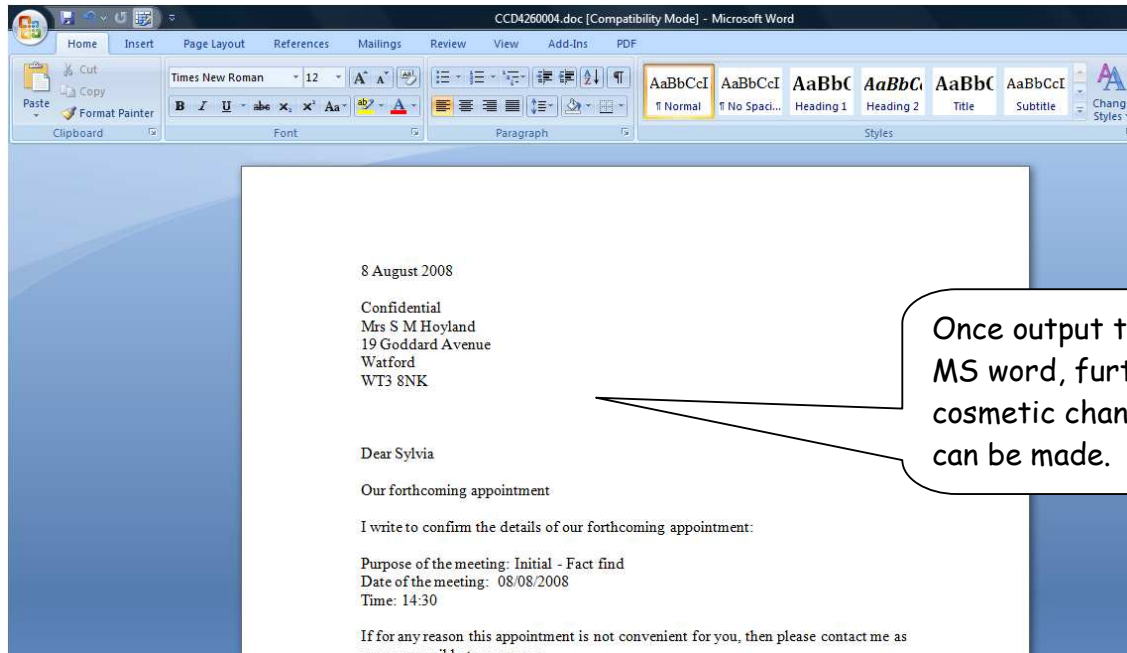
NB. If you asked for CCD to insert information that you have-not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

When you are happy with your letter the last stage is to adjust the font style, size and colour to suit your company branding.

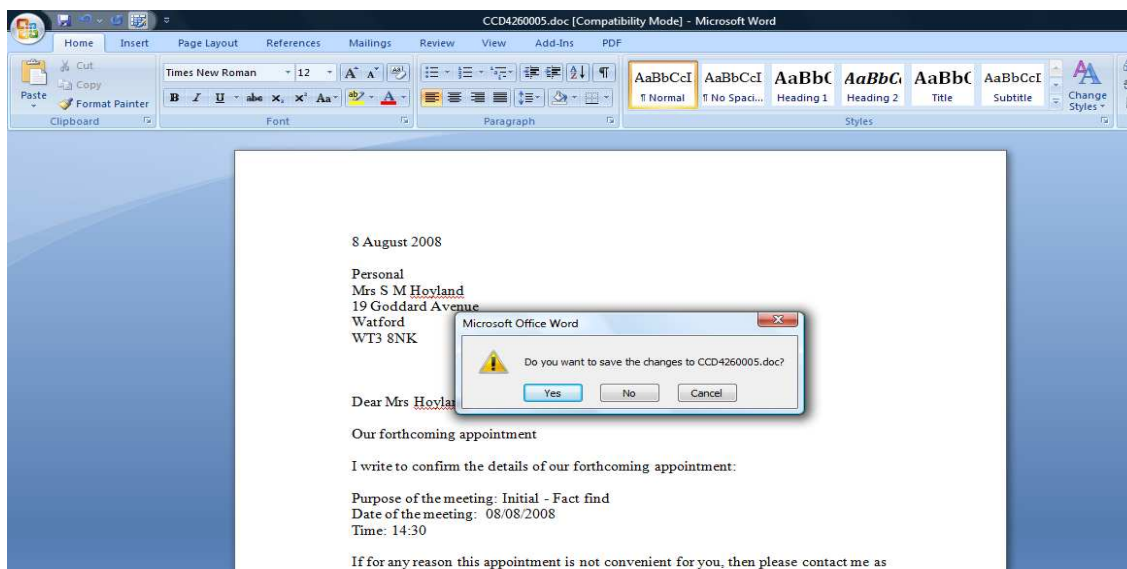
This is done by clicking on

► Output to MS Word™





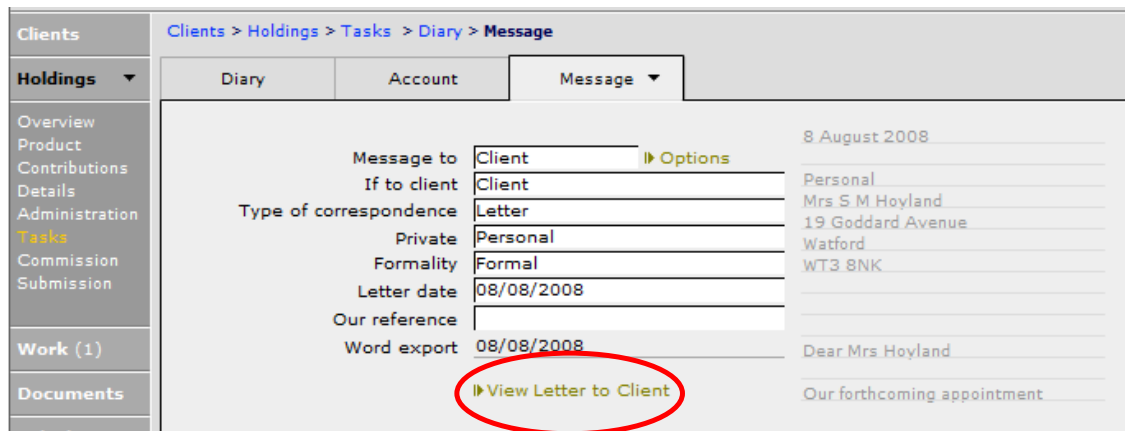
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



## 5.4. Viewing letters via Work

Should you wish to revisit your client's letter at any time simply retrace your steps from the front page of CCD

- Find your client
- Click on Work
- Enter the message tab.
- Click on View Letter to Client



The screenshot shows the Capita Financial Software interface. On the left is a navigation menu with options: Clients, Holdings, Overview, Product, Contributions, Details, Administration, Tasks (highlighted), Commission, and Submission. The main area is titled 'Clients > Holdings > Tasks > Diary > Message'. Below this title are tabs for 'Diary', 'Account', and 'Message'. The 'Message' tab is active, displaying a form for creating or editing a message. The form includes fields for 'Message to' (Client), 'If to client' (Client), 'Type of correspondence' (Letter), 'Private' (Personal), 'Formality' (Formal), 'Letter date' (08/08/2008), 'Our reference' (empty), and 'Word export' (08/08/2008). To the right of these fields is a section for '8 August 2008' containing a pre-filled letter template for 'Mrs S M Hoyland' at '19 Goddard Avenue, Watford, WT3 8NK'. At the bottom of the form, there is a link labeled 'View Letter to Client' which is circled in red.

This will then display the MS Word copy of the letter.

## 6. MONEY LAUNDERING

CCD comes complete with two different Identity forms i.e. a two page version for you to capture Money laundering information plus the newer FSA summary, Confirmation of Verification of Identity.

**CAPITA** FINANCIAL SOFTWARE Documents

Sylvia Hoyland

**Clients** Clients > Documents > Client Identity

**Holdings (10)** General **Identity**






**Work ()**

**Documents**

**Calculators**

**Reports**

**Quit**

Name	Address	No verification
<p> <a href="#">Print Confirmation of Verification of Identity</a></p> <p>Meets the standard evidence <input type="checkbox"/></p> <p>Exceeds the standard evidence <input type="checkbox"/></p> <p><a href="#">Complete the Identity Verification Certificate</a></p> <p> <a href="#">Print (Old style) Identity Verification Certificate</a></p> <p><a href="#">Date last updated</a> 22/08/2006 </p> <p><a href="#">HM Treasury listings for suspected terrorists</a></p> <p> <b>HM TREASURY</b></p> <p> <b>EQUIFAX</b> For information visit the <a href="#">Equifax</a> website</p>		

Click here to enter full information.

**CAPITA** FINANCIAL SOFTWARE Documents

Sylvia Hoyland

**Clients** Clients > Documents > Client Identity > Name

**Holdings (10)** General Identity
























**Work ()**

**Documents**

**Calculators**

**Reports**

**Quit**

Name	Address	No verification																																								
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Reference / Account no.</th> <th style="width: 10%;">Date</th> <th style="width: 10%;">Expiry</th> <th style="width: 10%;">Copy</th> </tr> </thead> <tbody> <tr> <td>Current passport</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Birth place</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Resident permit</td> <td></td> <td>Expiry</td> <td></td> </tr> <tr> <td>Photo driving license</td> <td></td> <td>Issue</td> <td></td> </tr> <tr> <td>Firearms certificate</td> <td>Ref.</td> <td>Authority</td> <td>Issue </td> </tr> <tr> <td>State pension / benefits letter</td> <td></td> <td></td> <td>Issue </td> </tr> <tr> <td>Sub-contractors certificate</td> <td></td> <td></td> <td>Issue </td> </tr> <tr> <td>Inland Revenue tax notification</td> <td></td> <td></td> <td>Issue </td> </tr> <tr> <td>Notification type</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p> <a href="#">Print Identity Verification Certificate</a> <span style="float: right;">Date last updated 22/08/2006 </span></p>			Reference / Account no.	Date	Expiry	Copy	Current passport				Birth place				Resident permit		Expiry		Photo driving license		Issue		Firearms certificate	Ref.	Authority	Issue 	State pension / benefits letter			Issue 	Sub-contractors certificate			Issue 	Inland Revenue tax notification			Issue 	Notification type			
Reference / Account no.	Date	Expiry	Copy																																							
Current passport																																										
Birth place																																										
Resident permit		Expiry																																								
Photo driving license		Issue																																								
Firearms certificate	Ref.	Authority	Issue 																																							
State pension / benefits letter			Issue 																																							
Sub-contractors certificate			Issue 																																							
Inland Revenue tax notification			Issue 																																							
Notification type																																										

Once the information has been entered you can either print out the full information using the [Print \(Old style\) Identity Verification Certificate](#) or select to print just the confirmation certificate [Print Confirmation of Verification of Identity](#). The other link on this front page will take you to the treasury web page for any advice on foreign nationals [HM Treasury listings for suspected terrorists](#).

## 7. SETTING UP TRACKERS

Trackers are a way of showing your business processes or work flows on the CCD system utilising the diary and tasks. They require you to have a clear understanding of the process you wish to track before you attempt to set them up on the system. We strongly recommend that you make a paper representation of the process you are setting up to refer to during the set up.

The example used in this guide is purely to show the application. This is not to be used as the basis of a real business process.

The steps to follow to set up are;

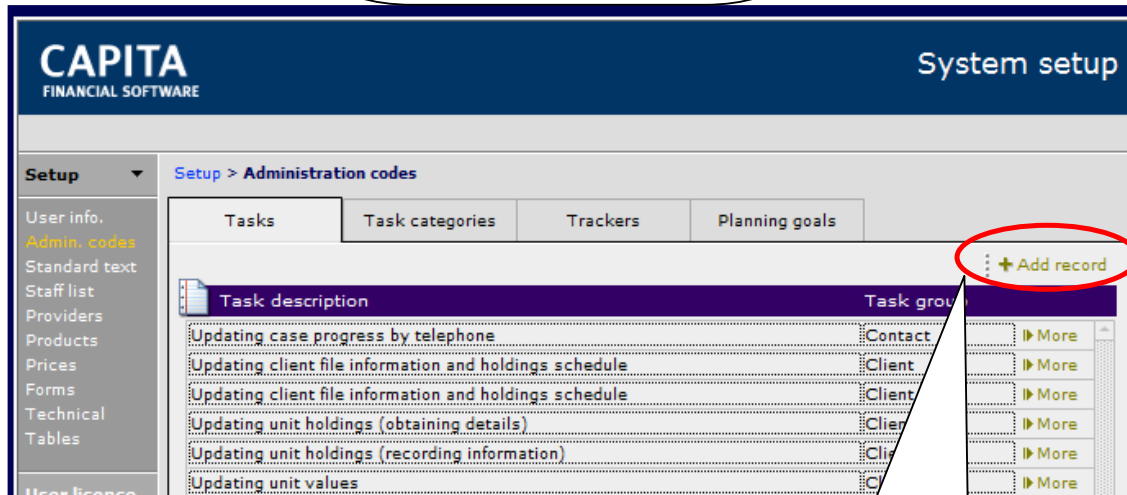
- Match your paper representation step by step to a task in the admin codes data base.
- Review each task and ensure the number of days for each task to be completed is set from the 1<sup>st</sup> day the tracker is put in place.
- Review each task and attach standard letters as required.
- Set up the tracker in CCD.

Match to admin codes in the data base. Where no task is present a new task will need to be created.



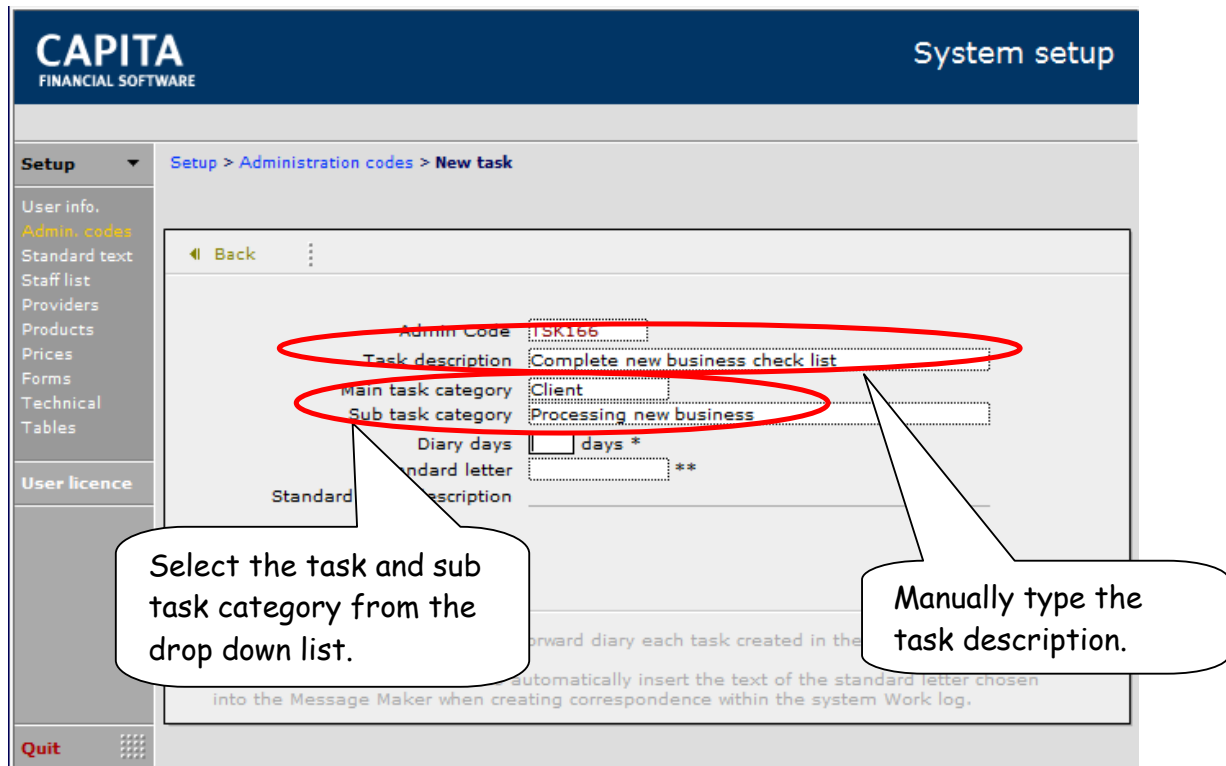
BUSINESS PROCESS	TASK IN ADMIN CODES DATABASE
Confirm to client receipt of application	Acknowledge receipt of new application - TSK001
Enter details onto client file	Entering new business in admin system - TSK057
Submit application to provider	Submit application to provider - TSK 128
Update client holding with contract details	Update client file information - TSK139
Complete new business check list	No suitable task in CCD
Send policy to client	Issuing documents to client - TSK070
Set client servicing details	No suitable task in CCD

Some processes will not have a corresponding task in CCD.



The screenshot shows the 'CAPITA FINANCIAL SOFTWARE' interface with 'System setup' in the top right. On the left is a 'Setup' menu with options like 'User info.', 'Admin. codes', 'Standard text', 'Staff list', 'Providers', 'Products', 'Prices', 'Forms', 'Technical', 'Tables', and 'User licence'. The main area is titled 'Setup > Administration codes' and has tabs for 'Tasks', 'Task categories', 'Trackers', and 'Planning goals'. The 'Tasks' tab is active, showing a table with 'Task description' and 'Task group' columns. The table lists several tasks, including 'Updating case progress by telephone' (Contact group) and 'Updating client file information and holdings schedule' (Client group). To the right of the table, there is a '+ Add record' button circled in red, and each row has a 'More' button.

Click here to add a new task.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > New task

Back

Admin Code: TSK166

Task description: Complete new business check list

Main task category: Client

Sub task category: Processing new business

Diary days: days \*

Standard letter: \*\*

Standard description

Forward diary each task created in the

Automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

Select the task and sub task category from the drop down list.

Manually type the task description.

Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required will be amendable as the task is created in the client file.

BUSINESS PROCESS	TASK IN ADMIN CODES DATABASE	NUMBER OF DAYS TO COMPLETE
Confirm to client receipt of application	Acknowledge receipt of new application - TSK001	1
Enter details onto client file	Entering new business in admin system - TSK057	2
Submit application to provider	Submit application to provider - TSK 128	2
Update client holding with contract details	Update client file information - TSK139	9
Complete new business check list	No suitable task in CCD	11
Send policy to client	Issuing documents to client - TSK070	12
Set client servicing details	No suitable task in CCD	23

Days from start of tracker for task to be completed.

**CAPITA**  
FINANCIAL SOFTWARE

System setup

**Setup**

- User info.
- Admin. codes
- Standard text
- Staff list
- Providers
- Products
- Prices
- Forms
- Technical
- Tables

Setup > Administration codes > New task

◀ Back

Admin Code

TSK166

Task description

Complete new business check list

Main task category

Client

Sub task category

Processing new business

Diary days

11 days \*

Standard letter

\*\*

Standard letter description

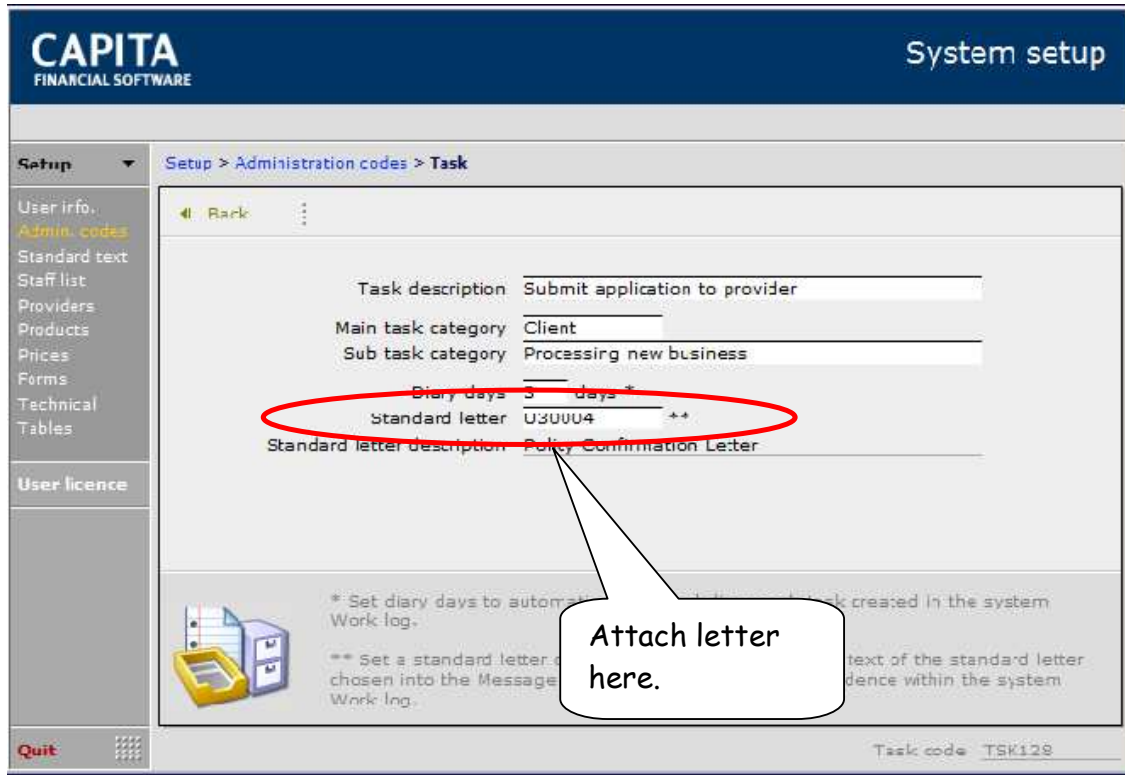
\* Set diary days

\*\* Set a standard letter code to automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

Add the number of days for the task to be completed.

Next any standard letters already set up in your CCD can be attached to the task. Once a letter has been attached to the task every time the task is used when the message tab is accessed in the task/work record the already selected letter will appear.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > Task

Task description: Submit application to provider

Main task category: Client

Sub task category: Processing new business

Diary days: 3 days \*

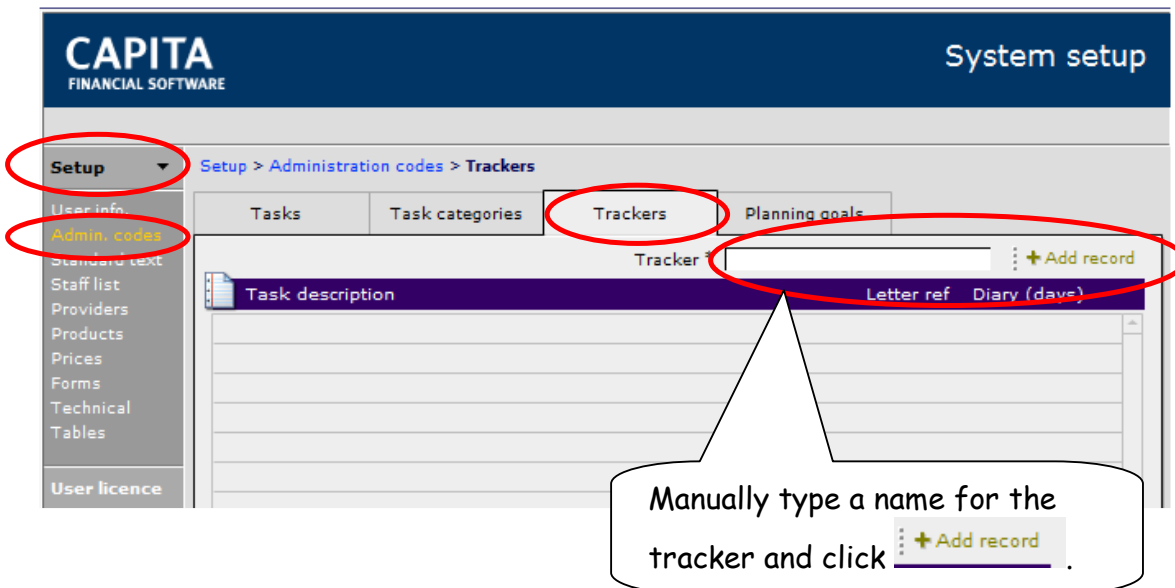
Standard letter: U30004 \*\*

Standard letter description: Policy Confirmation Letter

Task code: TSK128

Attach letter here.

All the preparation has now been done and the tracker can now be added to CCD.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > Trackers

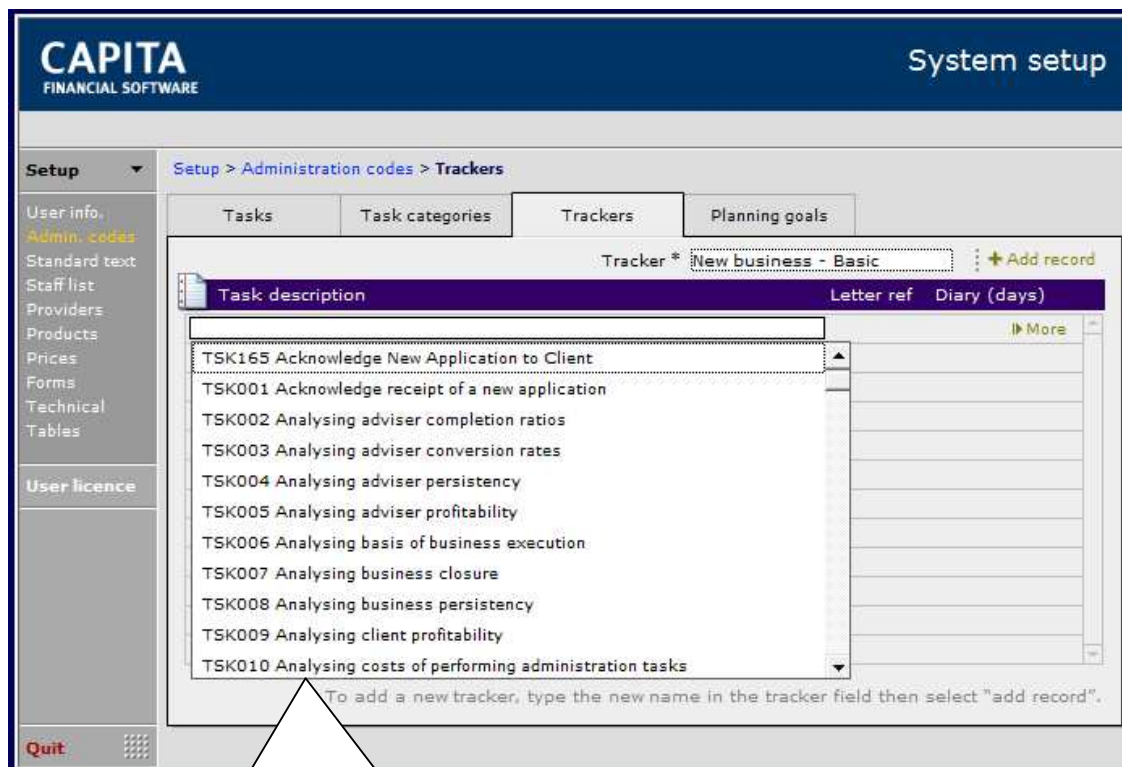
Tasks Task categories Trackers Planning goals

Tracker

Task description Letter ref Diary (days)

+ Add record

Manually type a name for the tracker and click + Add record.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > Trackers

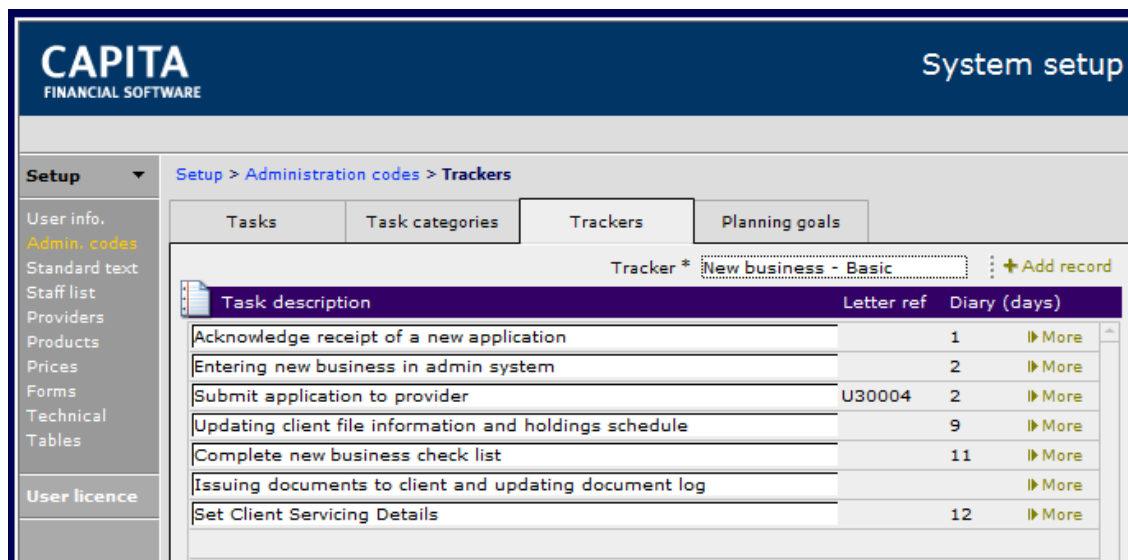
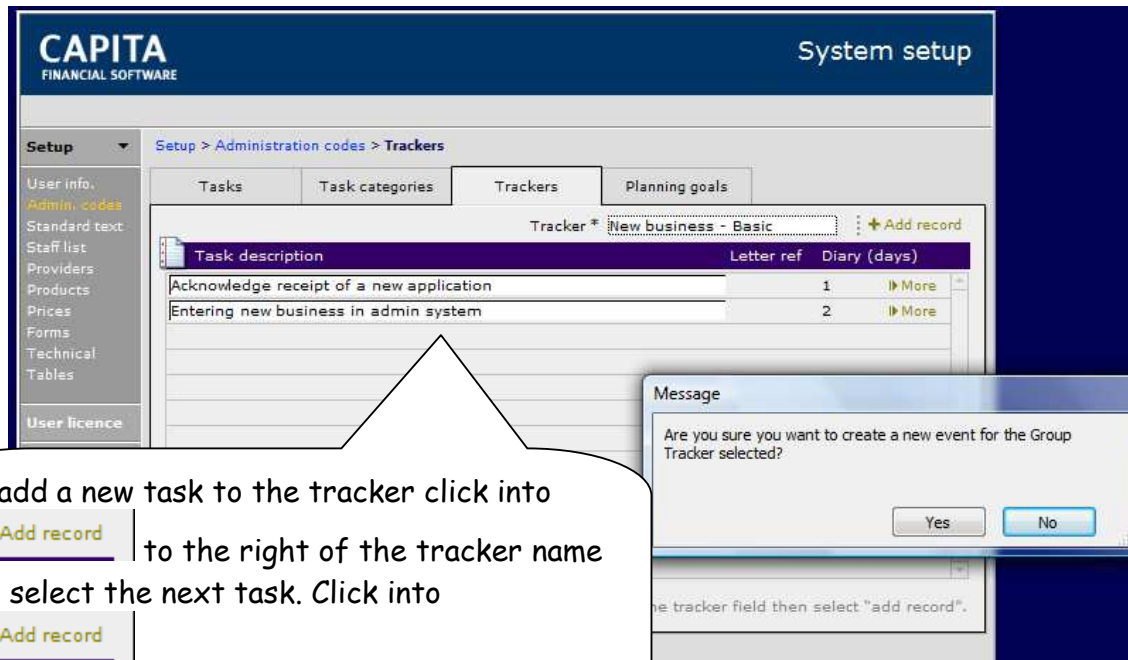
Tasks Task categories Trackers Planning goals

Tracker \* New business - Basic + Add record

Task description	Letter ref	Diary (days)
TSK165 Acknowledge New Application to Client		
TSK001 Acknowledge receipt of a new application		
TSK002 Analysing adviser completion ratios		
TSK003 Analysing adviser conversion rates		
TSK004 Analysing adviser persistency		
TSK005 Analysing adviser profitability		
TSK006 Analysing basis of business execution		
TSK007 Analysing business closure		
TSK008 Analysing business persistency		
TSK009 Analysing client profitability		
TSK010 Analysing costs of performing administration tasks		

To add a new tracker, type the new name in the tracker field then select "add record".

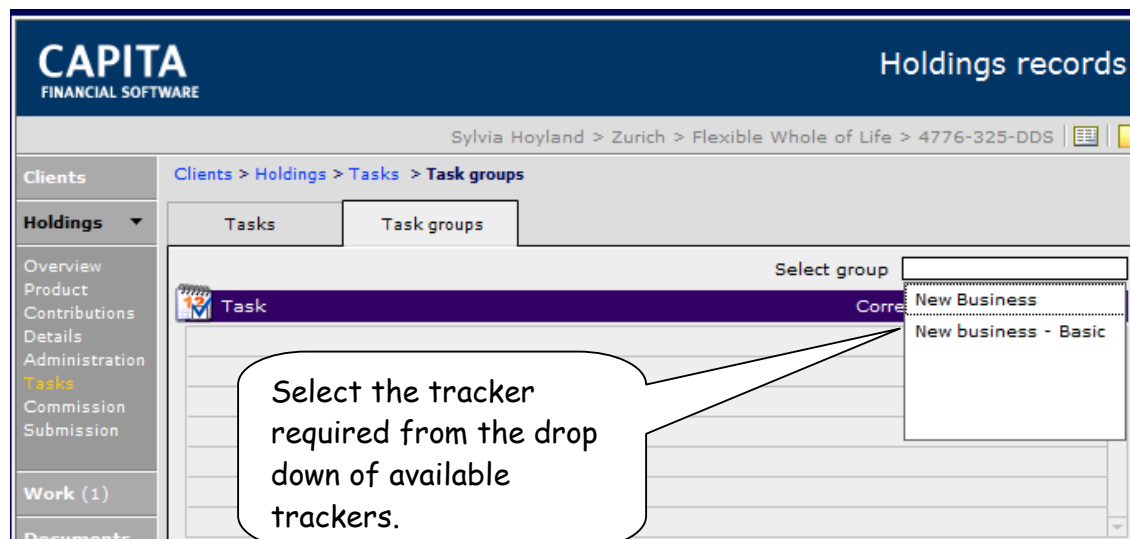
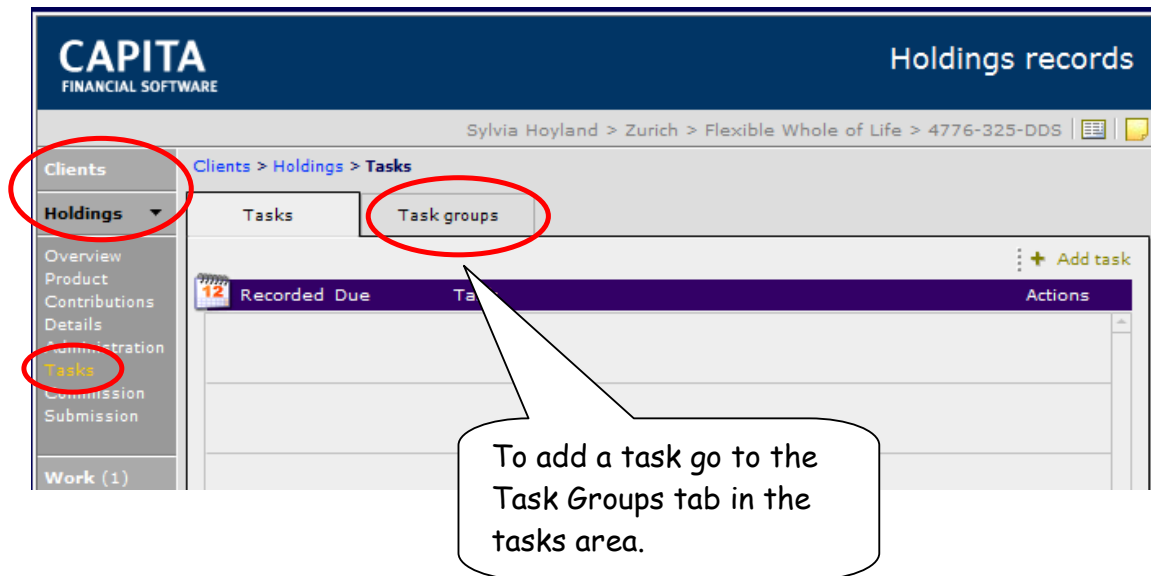
Select each task in the order already set out on your paper list.



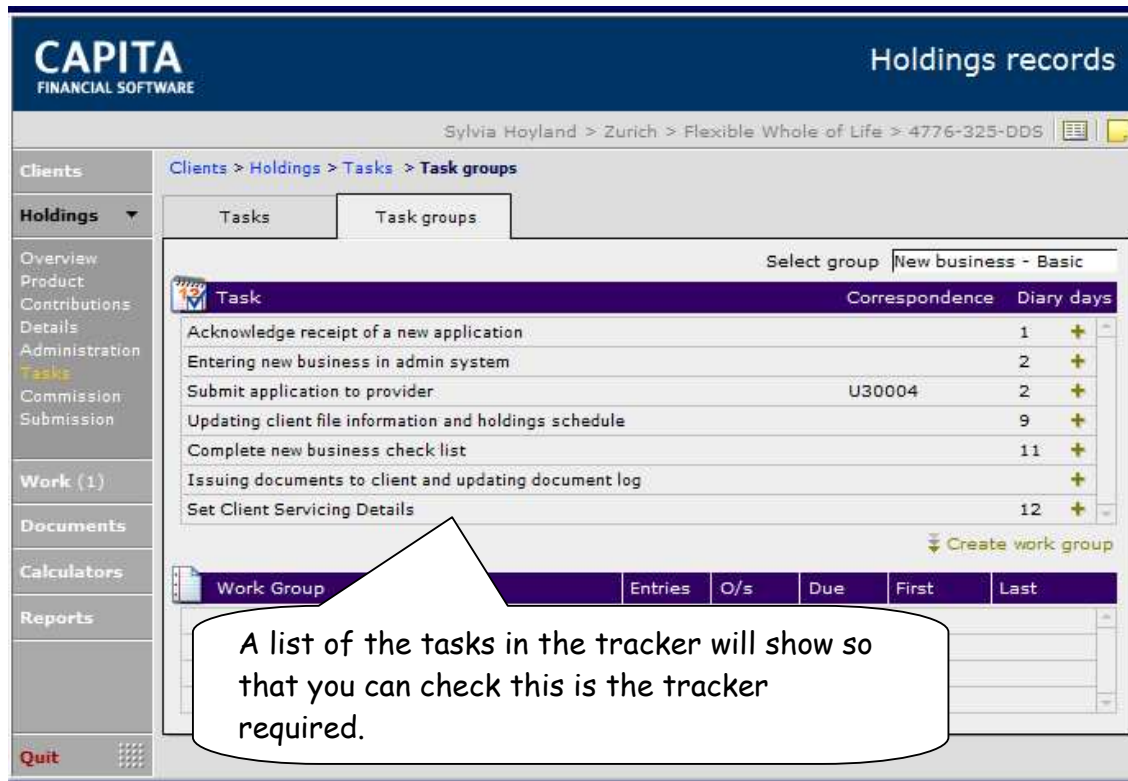
## 7.1. Using Trackers

Once a tracker has been created on your system it will be available to use in either the client work module or the holding task module.

As the tracker we have created is linked to a piece of new business we will look at how this is added in the tasks section of a holding.







**CAPITA**  
FINANCIAL SOFTWARE

Holdings records

Sylvia Hoyland > Zurich > Flexible Whole of Life > 4776-325-DDS

Clients > Holdings > Tasks > Task groups

Tasks Task groups

Select group New business - Basic

Task	Correspondence	Diary days
Acknowledge receipt of a new application		1
Entering new business in admin system		2
Submit application to provider	U30004	2
Updating client file information and holdings schedule		9
Complete new business check list		11
Issuing documents to client and updating document log		
Set Client Servicing Details		12

Create work group

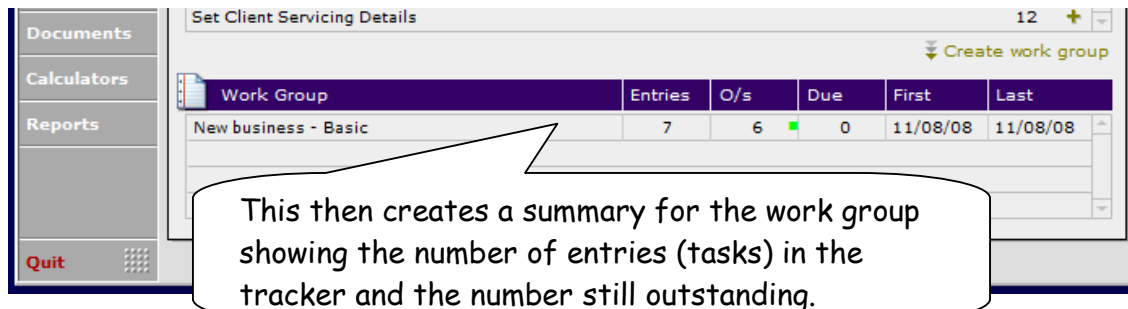
Work Group Entries O/s Due First Last

New business - Basic 7 6 0 11/08/08 11/08/08

Quit

A list of the tasks in the tracker will show so that you can check this is the tracker required.

Once you are happy that the tracker selected is the tracker required click into the **Create work group**.



Set Client Servicing Details 12

Create work group

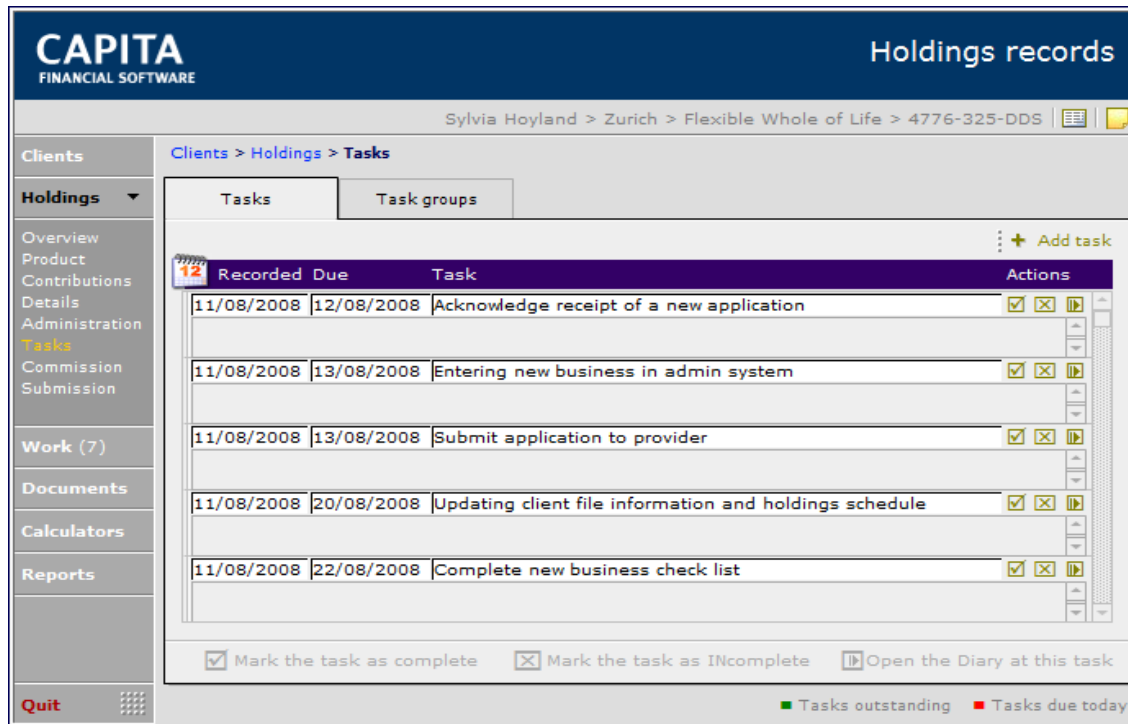
Work Group	Entries	O/s	Due	First	Last
New business - Basic	7	6	0	11/08/08	11/08/08

Create work group

Quit

This then creates a summary for the work group showing the number of entries (tasks) in the tracker and the number still outstanding.

Return to the main task list for the holding.



**CAPITA**  
FINANCIAL SOFTWARE

Holdings records

Sylvia Hoyland > Zurich > Flexible Whole of Life > 4776-325-DDS

Clients > Holdings > Tasks

Tasks Task groups

Recorded	Due	Task	Actions
11/08/2008	12/08/2008	Acknowledge receipt of a new application	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="Open the Diary at this task"/>
11/08/2008	13/08/2008	Entering new business in admin system	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="Open the Diary at this task"/>
11/08/2008	13/08/2008	Submit application to provider	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="Open the Diary at this task"/>
11/08/2008	20/08/2008	Updating client file information and holdings schedule	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="Open the Diary at this task"/>
11/08/2008	22/08/2008	Complete new business check list	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="Open the Diary at this task"/>

☒ Mark the task as complete ☐ Mark the task as INcomplete

Quit

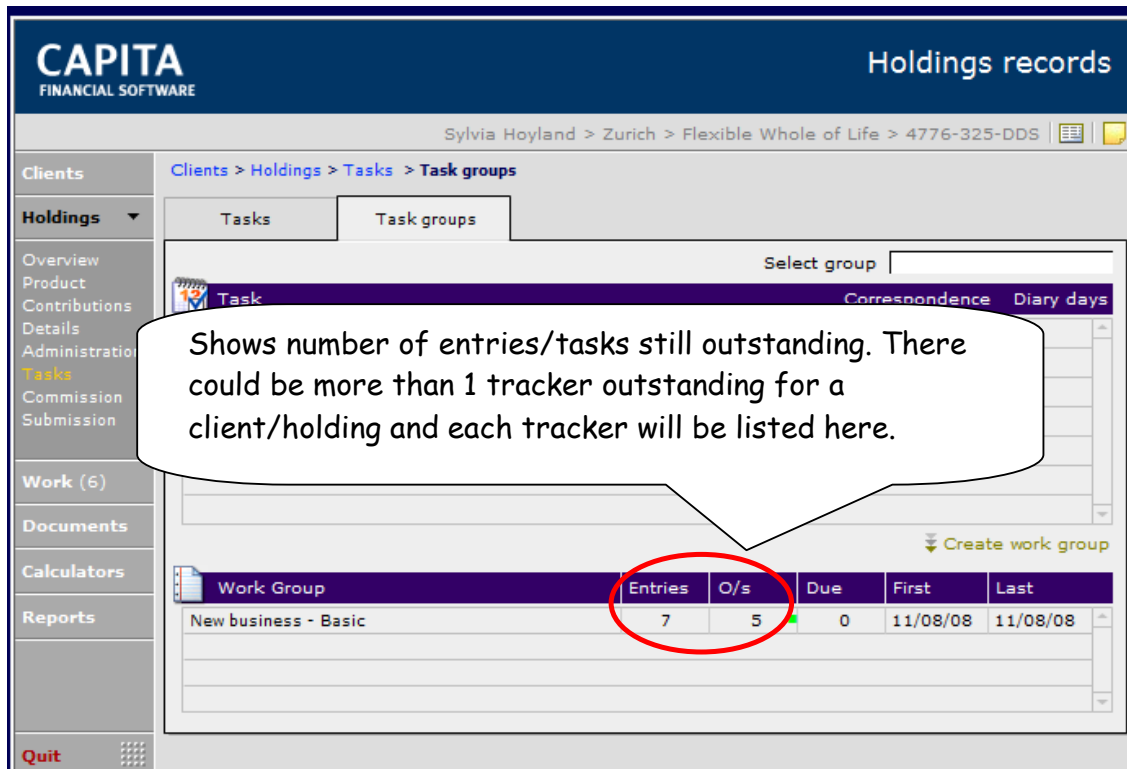
Tasks outstanding Tasks due today

Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage are outstanding. You can now go into each task and reset the person required to complete each task from the staff drop down as required. Every task in the tracker will have defaulted to the person adding the tracker to the holding record although this might not be the person who will be completing each task. Each task will appear in the diary of CCD in the normal manner and each task needs to be individually completed.



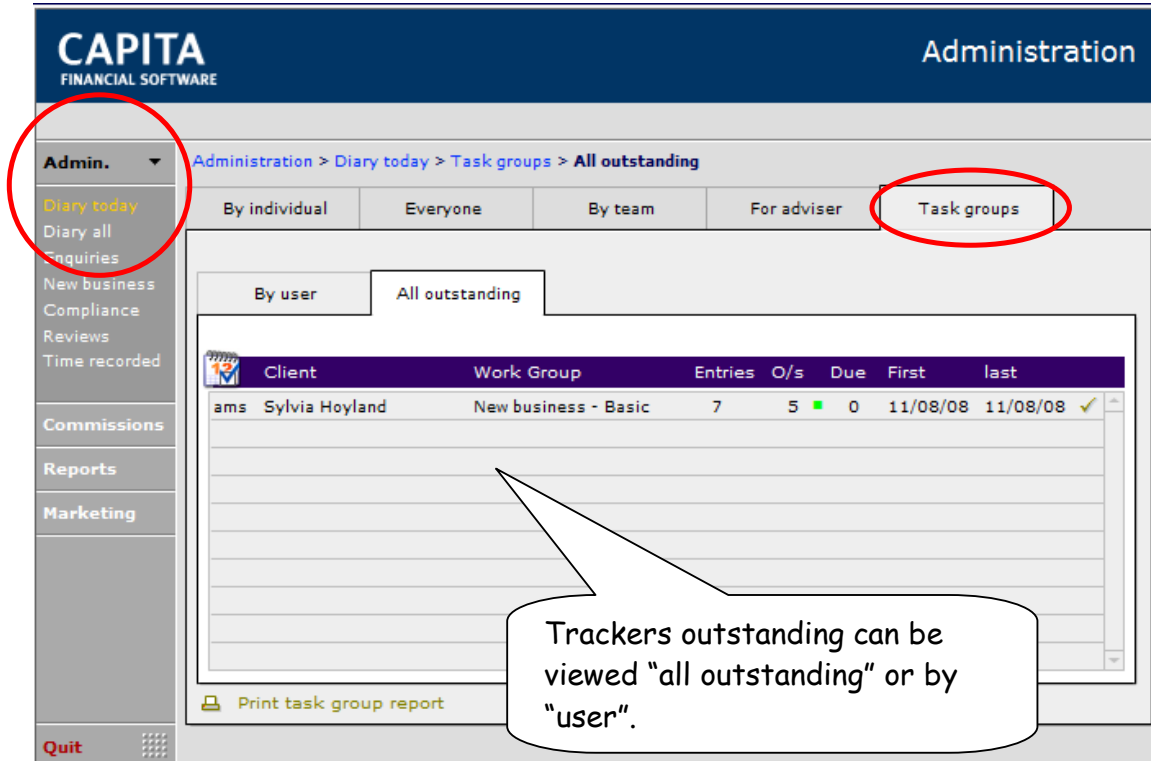
The progress of trackers can be followed in 2 ways.

1. On the Task groups tab of the holdings task section.



Work Group	Entries	O/s	Due	First	Last
New business - Basic	7	5	0	11/08/08	11/08/08

2. The other way is from the diary section in the admin module.



**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. ▾ Administration > Diary today > Task groups > All outstanding

Diary today  
Diary all  
Inquiries  
New business  
Compliance  
Reviews  
Time recorded

Commissions

Reports

Marketing

Quit

By individual Everyone By team For adviser Task groups

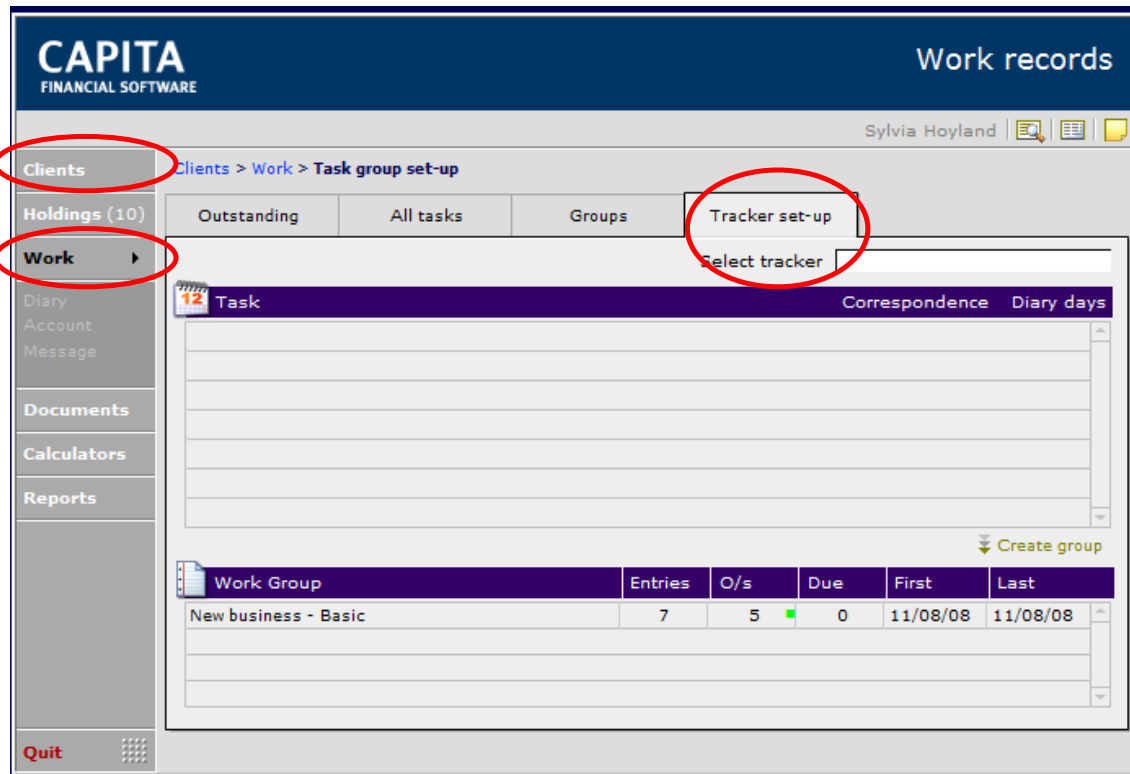
By user All outstanding

Client	Work Group	Entries	O/s	Due	First	Last
ams Sylvia Hoyland	New business - Basic	7	5	0	11/08/08	11/08/08

Print task group report

Trackers outstanding can be viewed "all outstanding" or by "user".

Adding a tracker to a work item rather than a task is performed in the same way although the initial screens vary slightly.




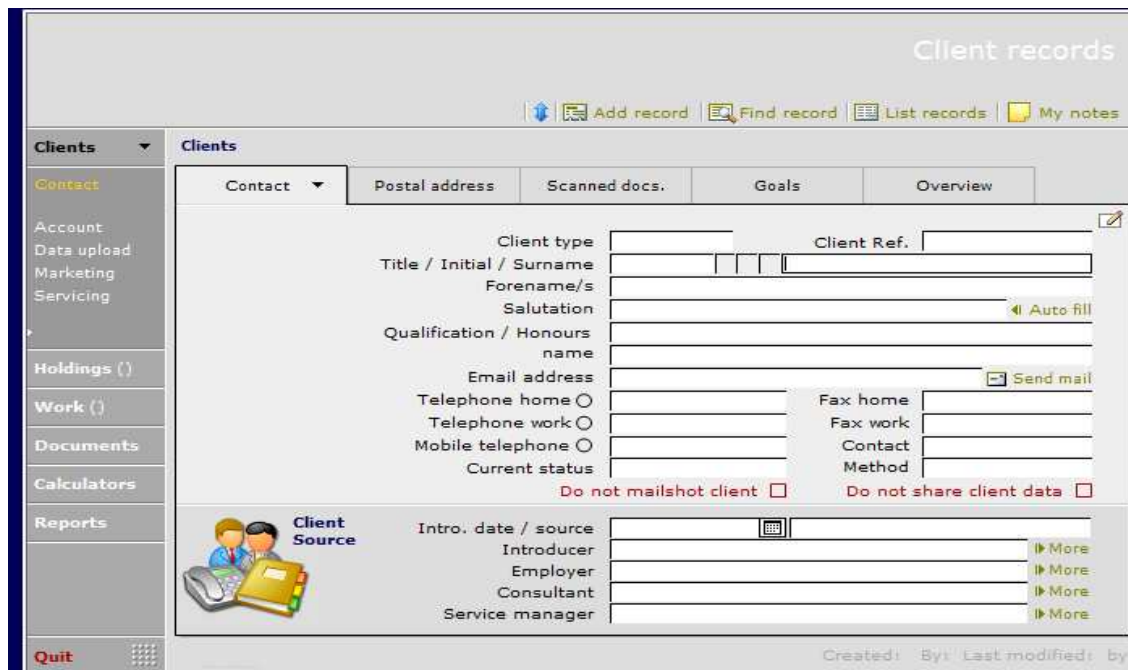
NB. As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

## 8. SEARCHING YOUR DATABASE

### 8.1. The Basic Search

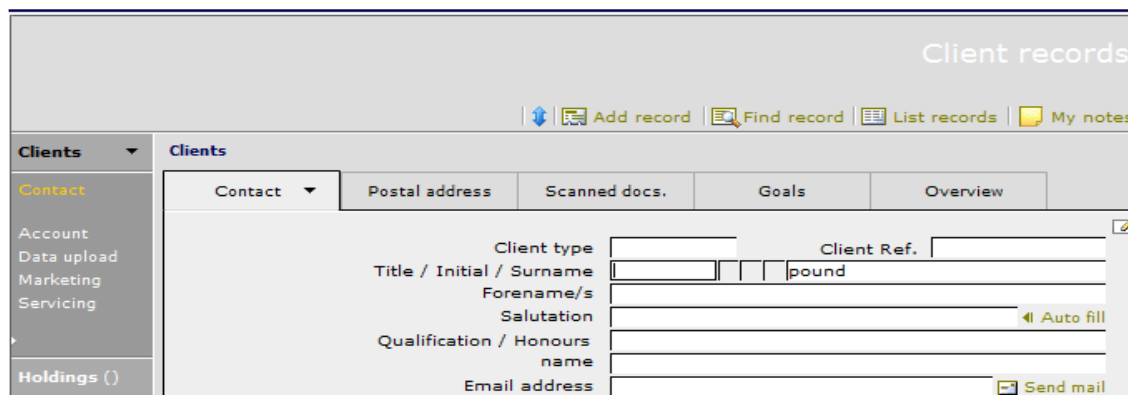
Within the clients screen you can search on any of the fields present and that you can complete multiple fields to narrow your search.

To search the system click into clients module from the main CCD menu. Select  Find record from the options at the top of the screen. This will blank all the fields for you to select your search criteria.







The clients surname is the most commonly used method of searching the system, therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

To add additional information move your cursor into the relevant field and then either type or select from the drop down presented. Once you have entered your information press the ENTER key on your keyboard.

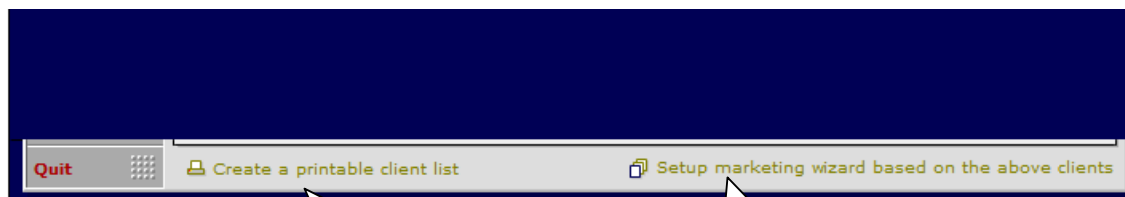


You will then be presented with a list of clients to choose from.

CAPITA FINANCIAL SOFTWARE							Client records
							Return
Client list ▶	Client name	Postcode	Type	Consultant	Intro. date	F/find	⊞ All
	Pound, Mark Keith	CM12 8YH	Individual	Clive McDonough	01/08/06		 Omit
	Pound, Clare	CM12 8YH	Individual	Clive McDonough	01/08/06		 Omit

To select a client simply click on the relevant line.

At the bottom of the list there are 2 other options available.



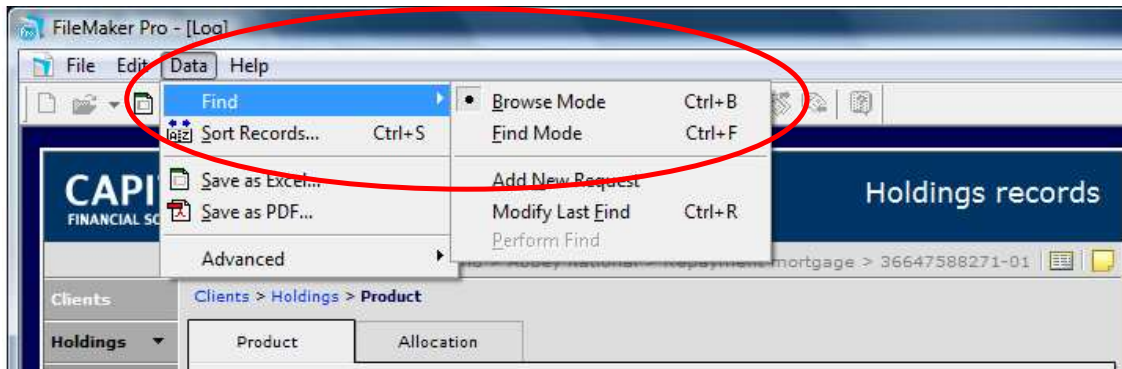
Gives a hard copy of the clients selected addresses and telephone numbers (will give the favoured telephone number as set on the front page of the clients record.)

Will take you through to the marketing section with the clients listed as the found set. (marketing wizard is covered later in this section ).

## 8.2. Using the Browse and find options

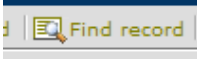
At the top of the screen on the main filemaker menu bar select the data option.

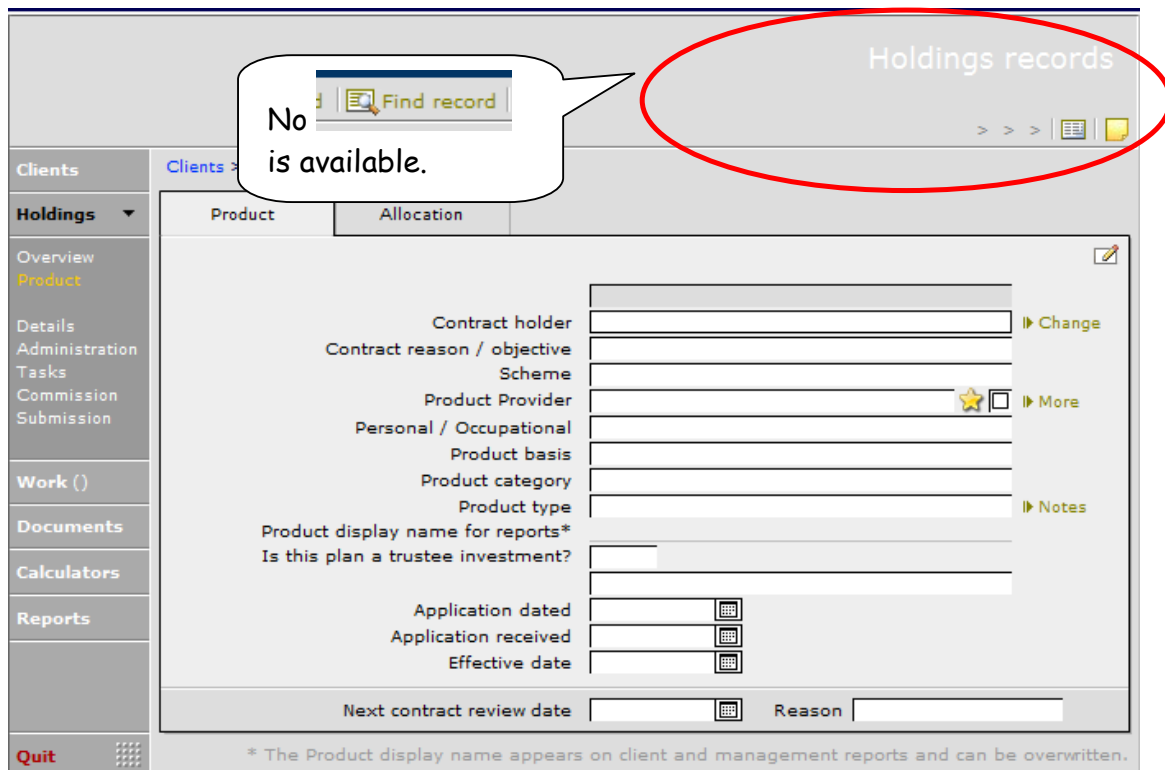




This option can be used to change the screen you are on into a "find" mode if needed, this option is not available for all but is dependent on the user level allocated to the staff member in their security details.

Browse mode is the default mode for CCD allowing you to view, add or make amendments to the information in the screen.

The "Find" mode however will change the screen you are in into a search screen similar to the basic client search, however this facility is available in nearly all of the CCD screens allowing you to conduct searches in many different places, and especially where the  button is not available.



Holdings records

Find record

No is available.

Contract holder

Contract reason / objective

Scheme

Product Provider

Personal / Occupational

Product basis

Product category

Product type

Product display name for reports\*

Is this plan a trustee investment?

Application dated

Application received

Effective date



Next contract review date

Reason

\* The Product display name appears on client and management reports and can be overwritten.

Searches can now be made by provider, product type, product category, policy number or nay of the other fields available.

This option will not automatically present you with a list but will display one of the records in the found set. There are 2 ways to view all the found records. The first is to click onto the icon at the top of the screen for the list view.

Sylvia Hoyland > Skandia > Maxi ISA > 366477266M  

This will display a list of all the records that match the criteria set with the option to switch straight to a marketing campaign.

CAPITA FINANCIAL SOFTWARE					Client records
					ClientReps
Client list ▶	Contract holder	Product	Provider	Type	Effective
	Hoyland, S M	Skandia		Maxi ISA	04/09/06
	Clark, I & Clark, H P	Skandia		With profit Bond	01/10/06
	Taylor, C A	Skandia		Investment portfolio	13/09/05
	Hopkins, P	Skandia		Maxi ISA	06/09/06
	Black, C	Skandia		Unit Linked Bond	?
	Worth, B & Worth, P	Skandia		Unit Linked Bond	28/05/07
	Daily, J	Skandia		Unit Linked Bond	07/02/07

You can then select individual records for view from the list presented.

The second way to view records in a found set is to use the "microwave" on the bottom menu bar.

**CAPITA**  
FINANCIAL SOFTWARE

Holdings records

Sylvia Hoyland > Skandia > Maxi ISA > 366477266M

Clients > Holdings > Product

Product Allocation

Application status: In force

Contract holder: Hoyland, S M

Contract reason / objective: Investment of lump sum

Scheme:

Product Provider: Skandia

Personal / Occupational: Personal

Product basis: Investment

Product category: Individual Savings Accounts

Product type: Maxi

Product display name for reports\*: Maxi ISA

Is this plan a trustee investment?:

Contract number: 366477266M

Application dated: 29/08/2006

Application received: 29/08/2006

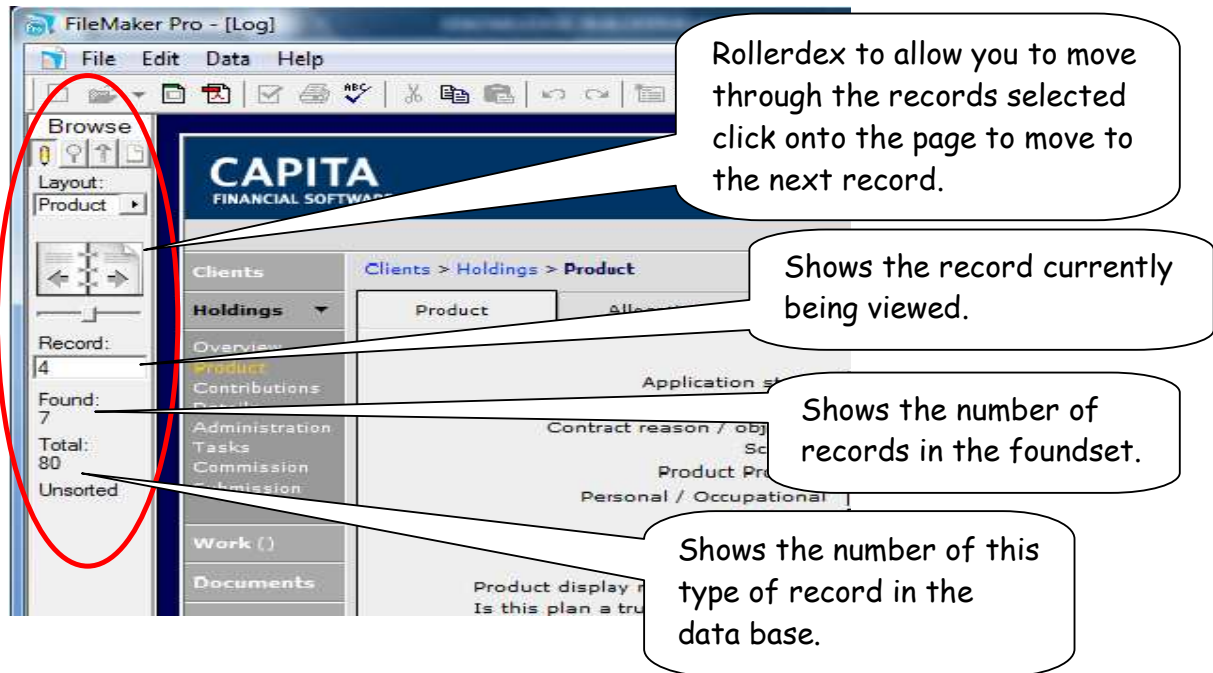
Effective date: 04/09/2006

Next contract review date: 01/05/2007

Reason:

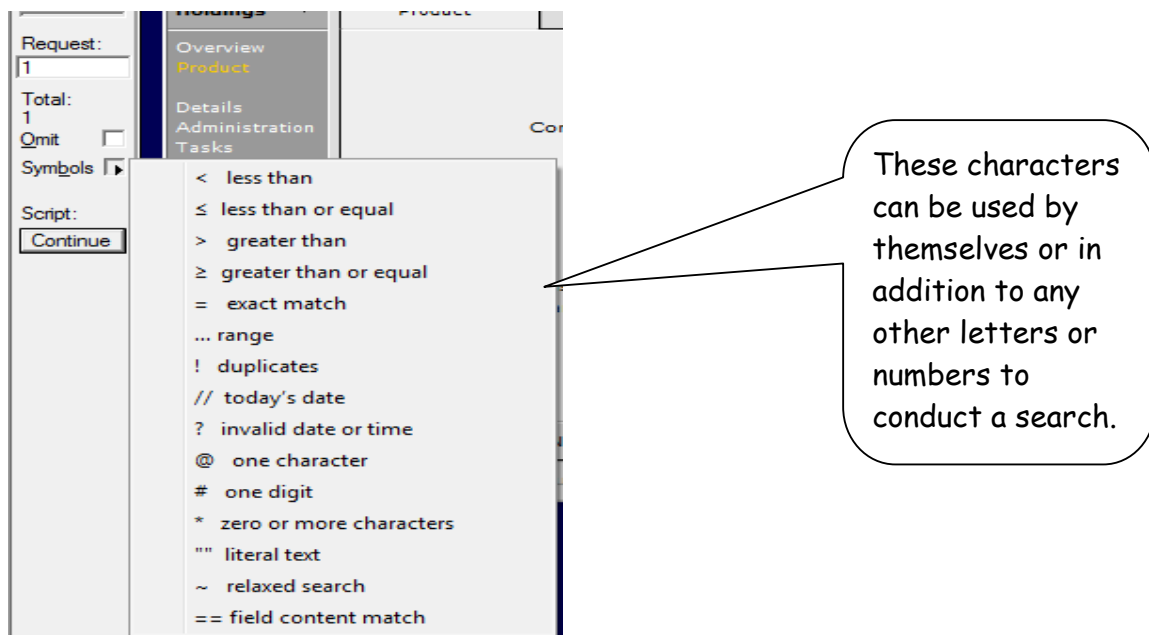
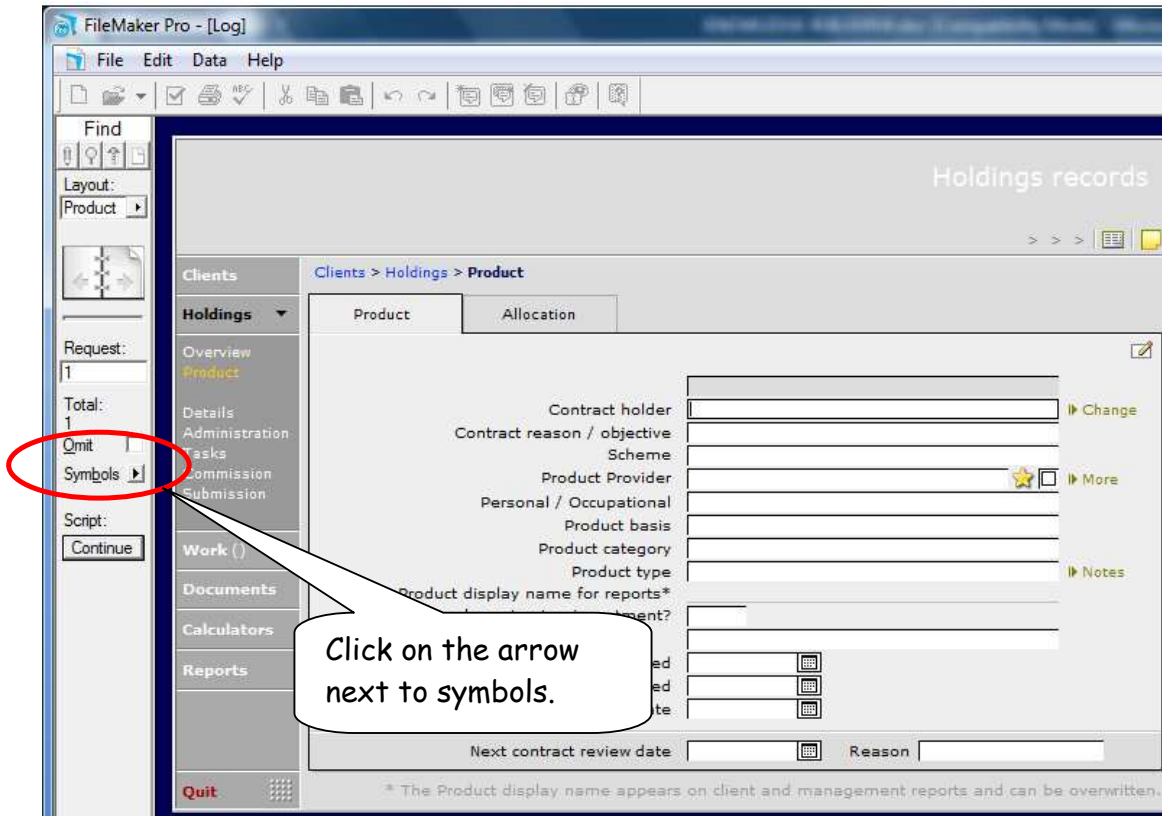
\* The Product display name appears on client and management reports and can be overwritten.

Click into the "microwave" to open up the margin.



## 8.2.1. Using the "Symbols" search

Combining both the records menu and the find facility will give you greater options when it comes to searching for data in your system. When you are in a CCD screen open up the margin and change to find mode.

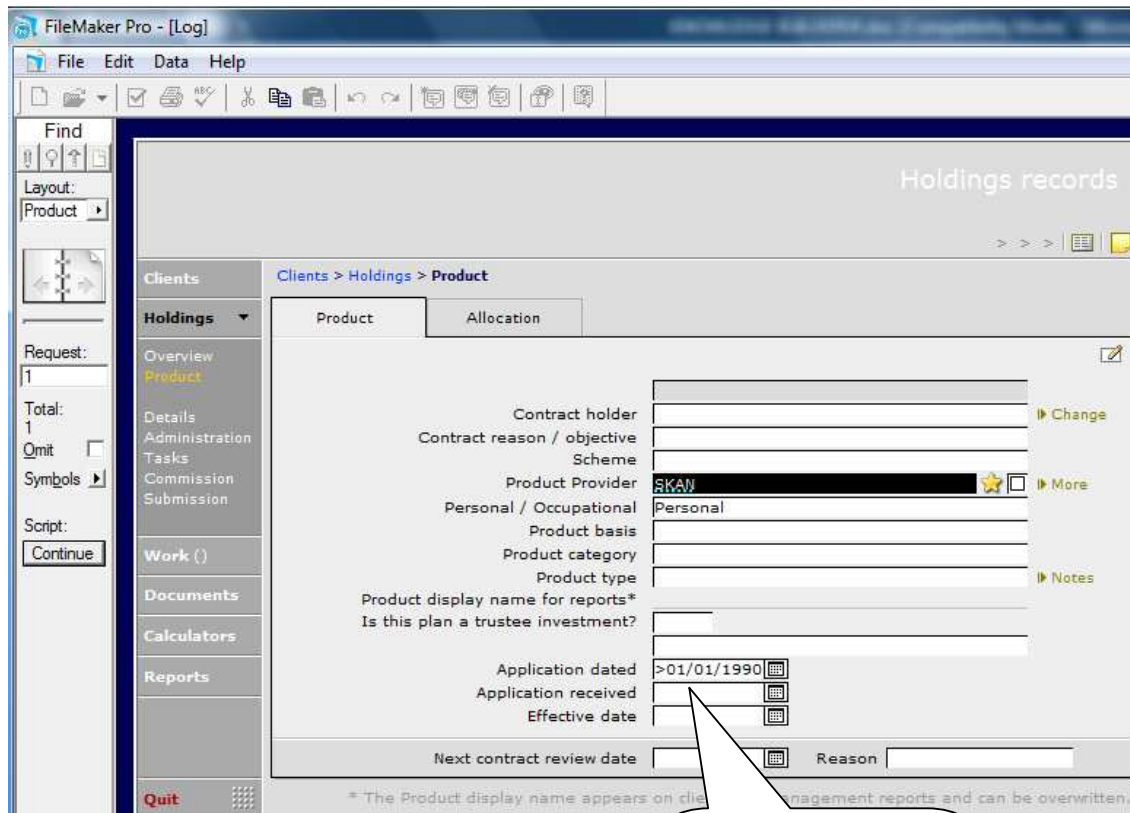


These symbols can be entered by simply clicking on the relevant box in CCD and then either click on the character on the list or you can free type the character from your keyboard.

By ticking the omit option in the margin you will reverse the effect of the search i.e. search for everything except the criteria I have entered.

The example below shows how these additional characters could be used on the holdings screen.

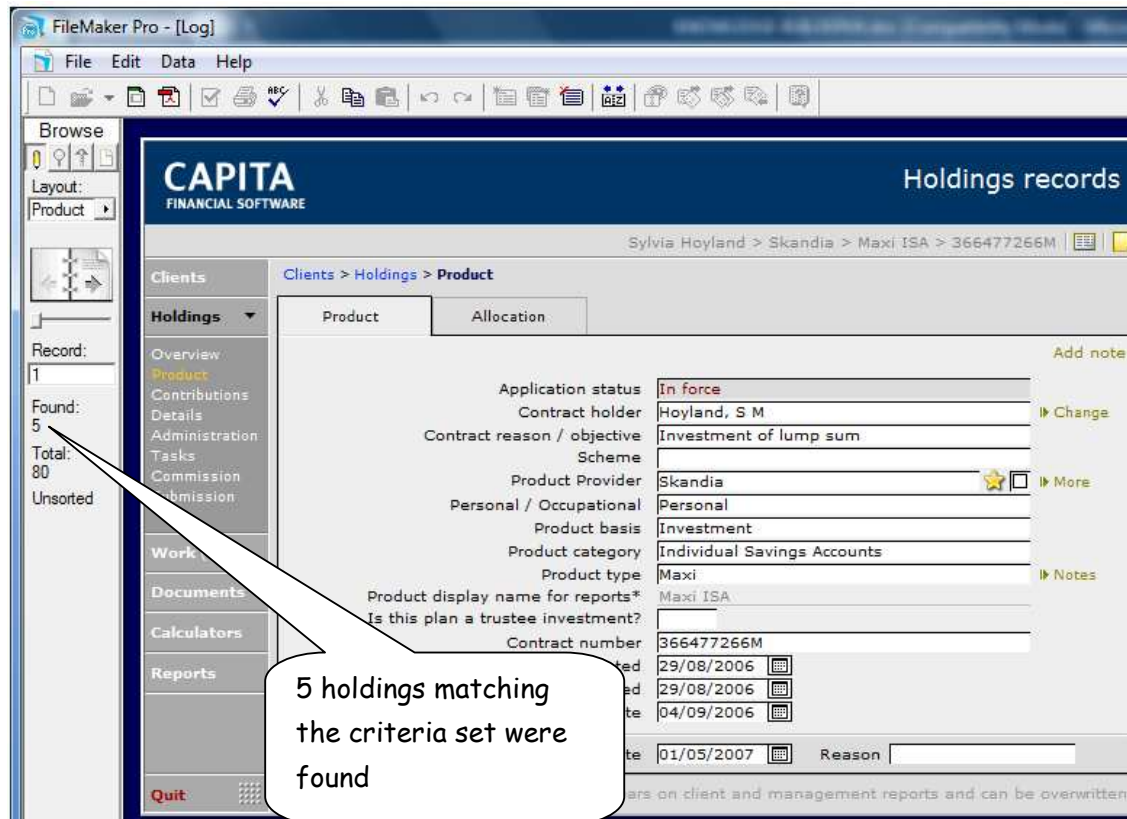
The search criteria are all Skandia personal policies where the application is dated after 01/01/1990



Symbol for  
"greater than"  
used to set dates  
after 1/1/1990.



The information is then returned.



Care does need to be taken when using the symbols as you may get unexpected results. Remember that where you specify certain criteria the system will take this as literally correct.

If you were looking for clients where the telephone number is blank then using the character \* (zero or more characters) will not work. This would have the effect of searching your system for every telephone number field that contained at least 1 numeric character in it. If however you searched the telephone number field with the symbol = (exact match) and nothing else it would search for all clients where this field was blank.

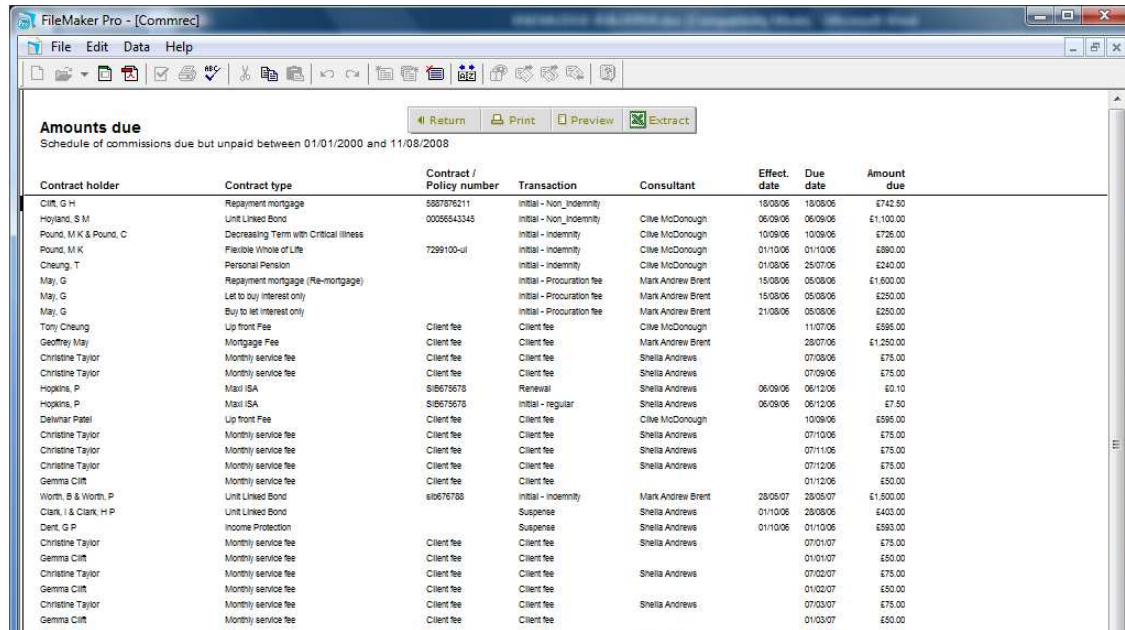
### 8.3. Searching in reports

The same search principals can be applied to the reports in CCD however care needs to be taken when doing this as some reports are specifically titled. Most reports created at client level will show the clients name at the top of the

report therefore modifying the search on that style of report will most likely result in multiple clients appearing on the report: however the clients name in the title will not change.

Within the Admin area most reports are not specifically titled and may be more easily modified.

To start the search of a report, enter a *CCD* report, the report we will use on this example is in the commission reports, Due not paid schedule for (Provider).

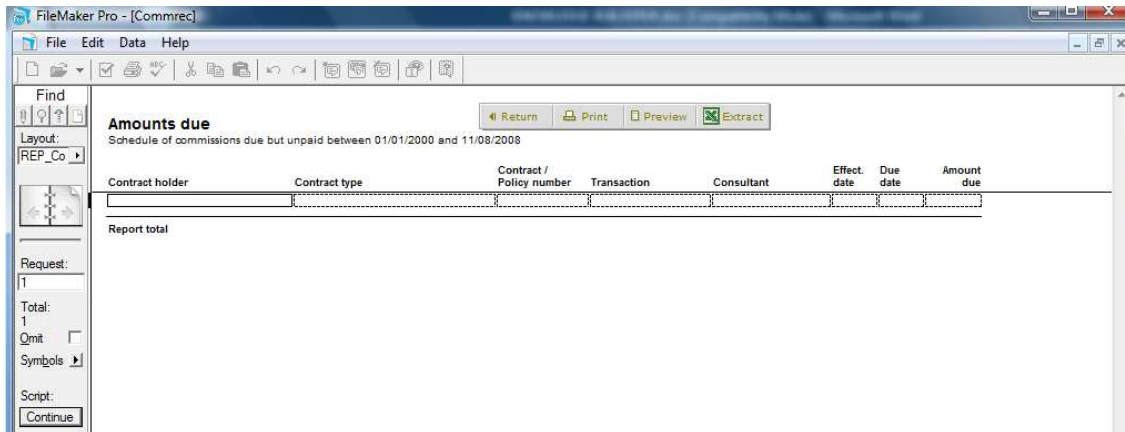


**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008

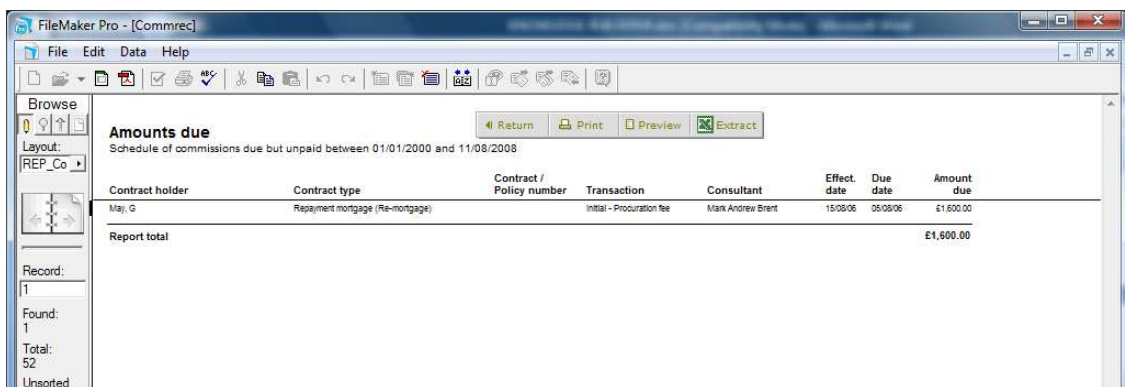
Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
Cliff, G H	Repayment mortgage	583767211	Initial - Non indemnity		18/09/06	18/09/06	£742.50
Hoyland, S M	Unit Linked Bond	00098643345	Initial - Non indemnity	Clive McDonough	06/09/06	06/09/06	£1,100.00
Pound, M K & Pound, C	Decreasing Term with Critical Illness		Initial - indemnity	Clive McDonough	10/09/06	10/09/06	£726.00
Pound, M K	Flexible Whole of Life	7299100-ul	Initial - indemnity	Clive McDonough	01/10/06	01/10/06	£880.00
Cheung, T	Personal Pension		Initial - indemnity	Clive McDonough	01/08/06	25/07/06	£240.00
May, G	Repayment mortgage (Re-mortgage)		Initial - Procuration fee	Mark Andrew Brent	15/09/06	05/09/06	£1,500.00
May, G	Let to buy interest only		Initial - Procuration fee	Mark Andrew Brent	15/09/06	05/09/06	£250.00
May, G	Buy to let interest only		Initial - Procuration fee	Mark Andrew Brent	21/08/06	05/09/06	£250.00
Tony Cheung	Up front Fee		Client fee	Clive McDonough		11/07/06	£595.00
Geoffrey May	Mortgage Fee		Client fee	Mark Andrew Brent		28/07/06	£1,250.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/09/06	£75.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/09/06	£75.00
Hopkins, P	Mass ISA	S18575675	Renewal	Sheila Andrews	06/09/06	06/12/06	£0.10
Hopkins, P	Mass ISA	S18575675	Initial - regular	Sheila Andrews	06/09/06	06/12/06	£7.50
Delmar Patel	Up front Fee		Client fee	Clive McDonough		10/09/06	£595.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/10/06	£75.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/11/06	£75.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/12/06	£75.00
Gemma Clift	Monthly service fee		Client fee			01/12/06	£50.00
Worth, B & Worth, P	Unit Linked Bond	sib75758	Initial - indemnity	Mark Andrew Brent	28/05/07	28/05/07	£1,500.00
Clark, I & Clark, H P	Unit Linked Bond		Suspense	Sheila Andrews	01/10/06	28/08/06	£403.00
Dent, G P	Income Protection		Suspense	Sheila Andrews	01/10/06	01/10/06	£593.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/01/07	£75.00
Gemma Clift	Monthly service fee		Client fee			01/01/07	£50.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/02/07	£75.00
Gemma Clift	Monthly service fee		Client fee			01/02/07	£50.00
Christine Taylor	Monthly service fee		Client fee	Sheila Andrews		07/03/07	£75.00
Gemma Clift	Monthly service fee		Client fee			01/03/07	£50.00

As before to conduct a search use both the margin (microwave) and the find mode (filemaker menu bar - data - find - find mode).

This will have the effect of clearing the entire report ready to accept new search details.



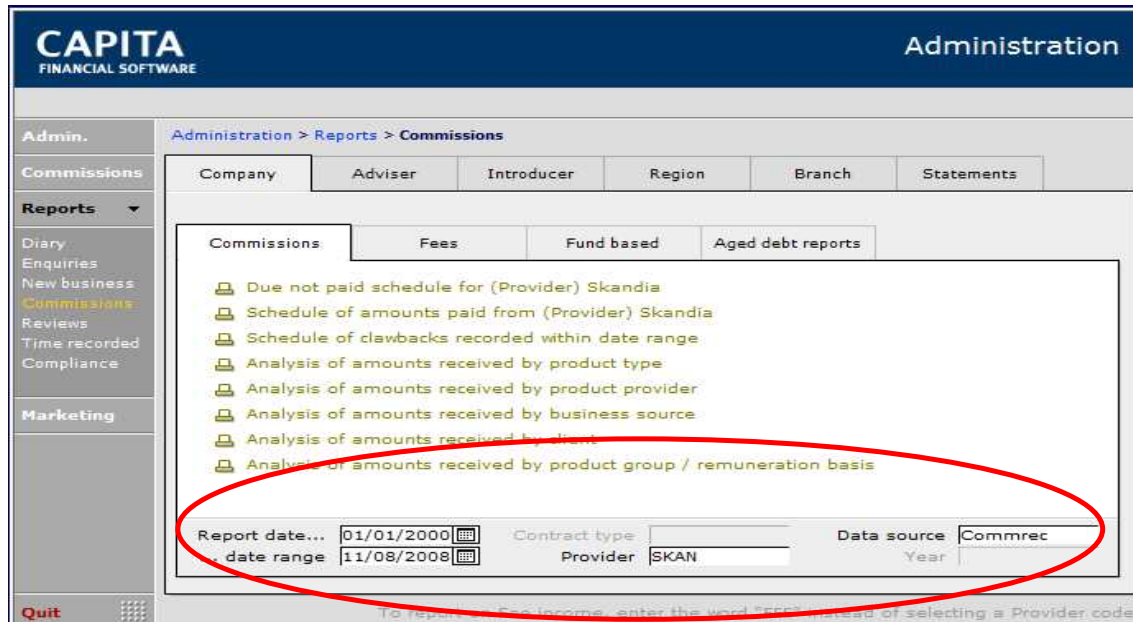
The example below shows how to find any unpaid procurement fee where it is greater than £300.



### 8.3.1. Modify Search

When using reports you have the option to modify the search criteria that you have entered. A report is in itself a "found set" the find criteria being set by the scripting behind the report. Once the report has been run you have the option to modify it.

This report has been run for Amount due but not paid on the date range 1/1/2000 to 11/08/2008 for Skandia.



**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. Administration > Reports > Commissions

Commissions

Reports

Diary  
Enquiries  
New business  
Commissions  
Reviews  
Time recorded  
Compliance

Marketing

Quit

Company Adviser Introducer Region Branch Statements

Commissions Fees Fund based Aged debt reports

Due not paid schedule for (Provider) Skandia  
Schedule of amounts paid from (Provider) Skandia  
Schedule of clawbacks recorded within date range  
Analysis of amounts received by product type  
Analysis of amounts received by product provider  
Analysis of amounts received by business source  
Analysis of amounts received by agent  
Analysis of amounts received by product group / remuneration basis

Report date... 01/01/2000  
date range 11/08/2008  
Contract type  
Provider SKAN  
Data source Commrec  
Year

To report on Fee Income, enter the word "FEE" instead of selecting a Provider code



FileMaker Pro - [Commrec]

File Edit Data Help

Return Print Preview Extract

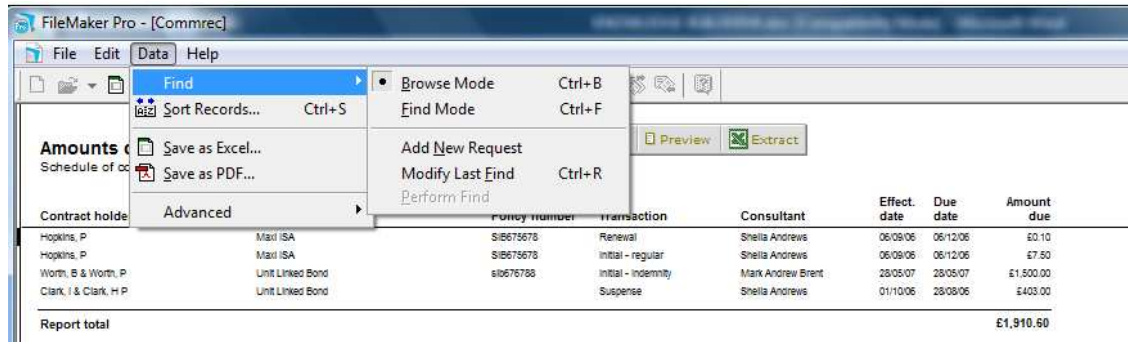
**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008 from Skandia

Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect date	Due date	Amount due
Hopkins, P	Mail ISA	SI8675678	Renewal	Shelia Andrews	06/09/06	06/12/06	£0.10
Hopkins, P	Mail ISA	SI8675678	Initial - regular	Shelia Andrews	06/09/06	06/12/06	£7.50
Worth, B & Worth, P	Unit Linked Bond	SI8675678	Initial - indemnity	Mark Andrew Brent	28/05/07	28/05/07	£1,500.00
Clark, I & Clark, H P	Unit Linked Bond		Suspense	Shelia Andrews	01/10/06	28/08/06	£403.00
<b>Report total</b>							<b>£1,910.60</b>

Once you have your report on screen you will see at the top of the screen the filemaker toolbar



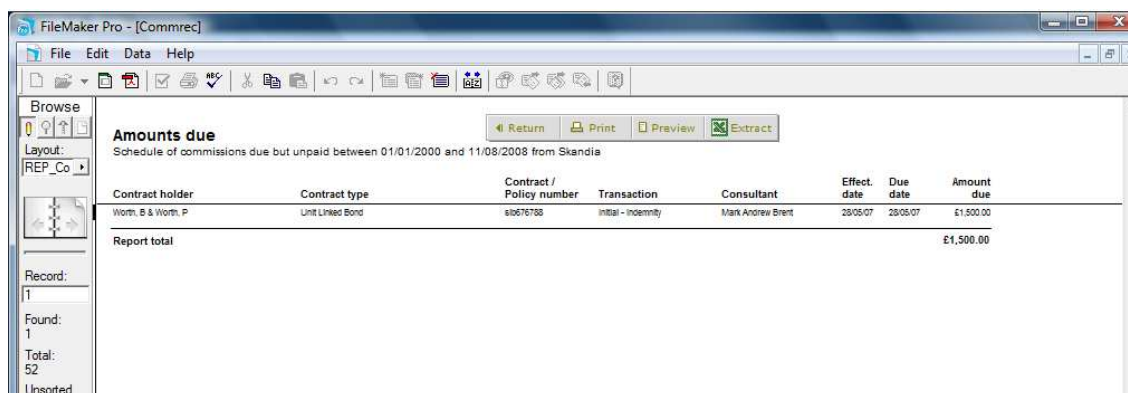
Click into Data and then find and then Modify last find.



The search criteria is entered in the same way as for the "find" search. In the example below there is a need to find any amount due greater than £500.



By pressing enter on the keyboard the report will now apply your new criteria to the report, retaining the original report details.

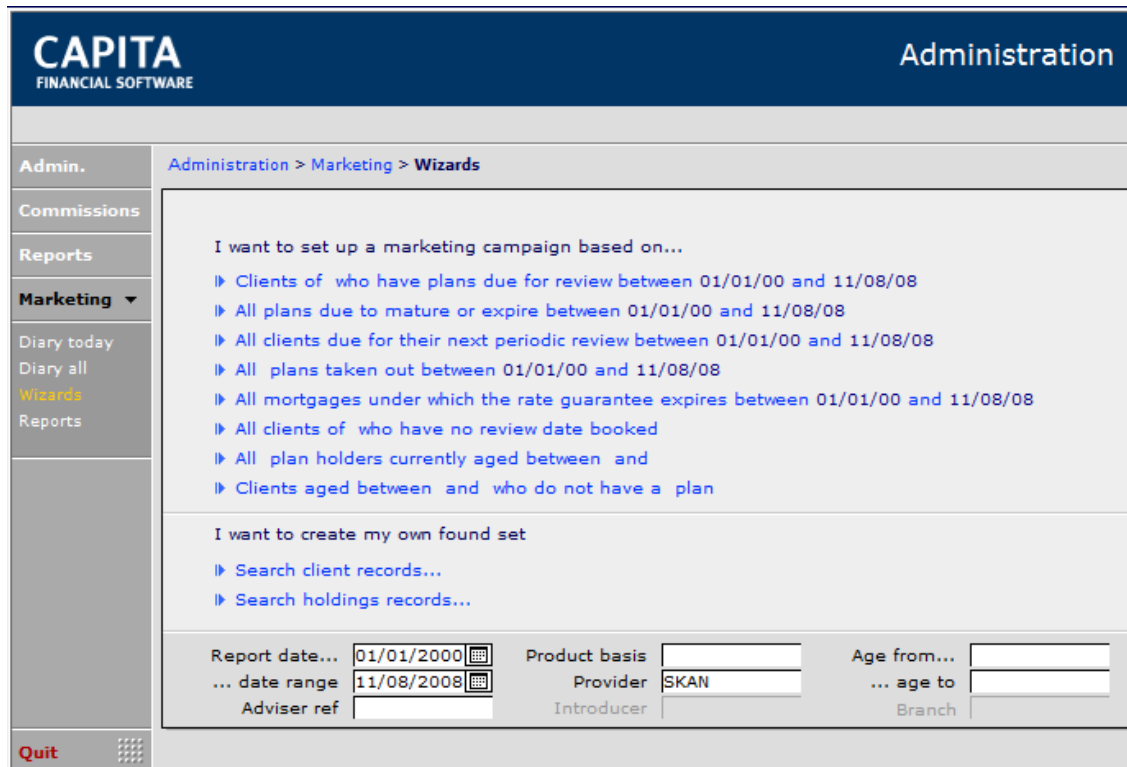


As you can see from the example the report is still for Skandia between the date ranges selected however it now only displays amounts greater than £500.



## 9. USING A STANDARD MARKETING WIZARD

Within the Admin module is the marketing section. Under Wizards there are a number of pre-set marketing campaigns that can be run.



**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. Administration > Marketing > Wizards

Commissions

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

Quit

I want to set up a marketing campaign based on...

- Clients of who have plans due for review between 01/01/00 and 11/08/08
- All plans due to mature or expire between 01/01/00 and 11/08/08
- All clients due for their next periodic review between 01/01/00 and 11/08/08
- All plans taken out between 01/01/00 and 11/08/08
- All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08
- All clients of who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan

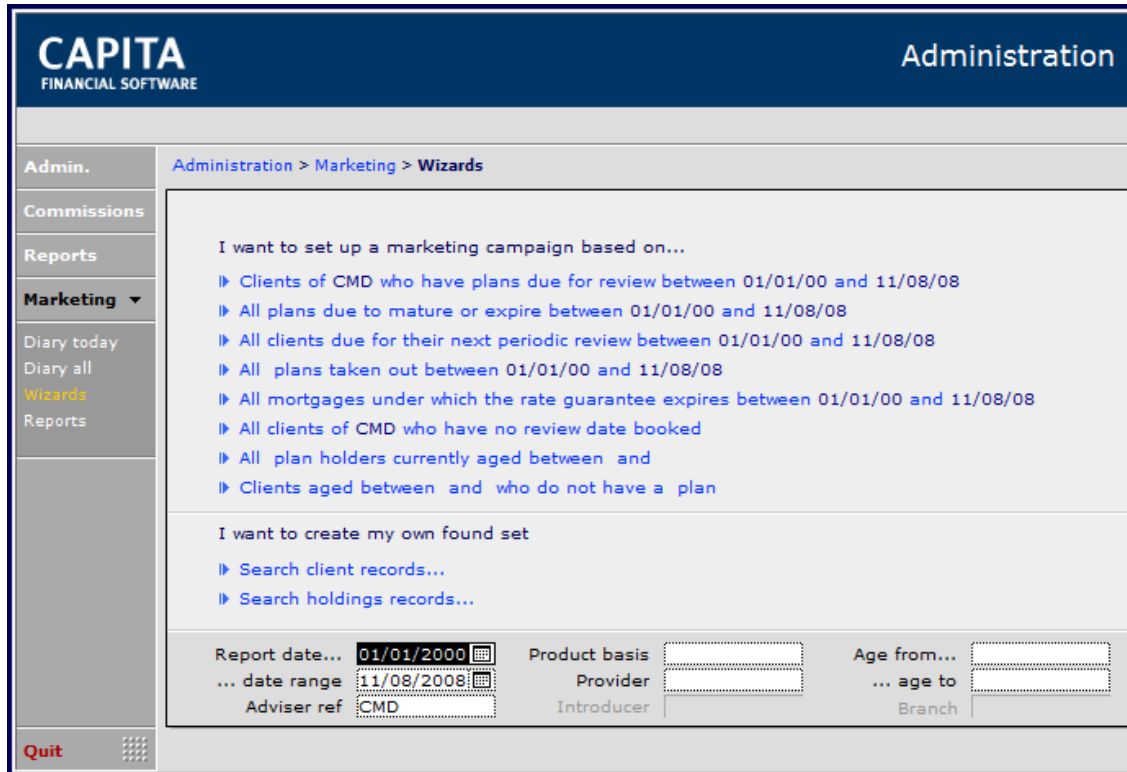
I want to create my own found set

- Search client records...
- Search holdings records...

Report date... 01/01/2000 Product basis ... date range 11/08/2008 Provider SKAN Age from... ... age to Adviser ref Introducer Branch

The screen is split into two parts. The upper eight links need to be completed by using the options at the bottom of the screen. The other two links below allow you to create your own searches.

The example below is for all of Clive's clients with reviews due between 01/01/2000 and 11/08/2008.



**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. > Administration > Marketing > Wizards

I want to set up a marketing campaign based on...

- ▶ Clients of CMD who have plans due for review between 01/01/00 and 11/08/08
- ▶ All plans due to mature or expire between 01/01/00 and 11/08/08
- ▶ All clients due for their next periodic review between 01/01/00 and 11/08/08
- ▶ All plans taken out between 01/01/00 and 11/08/08
- ▶ All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08
- ▶ All clients of CMD who have no review date booked
- ▶ All plan holders currently aged between and
- ▶ Clients aged between and who do not have a plan

I want to create my own found set

- ▶ Search client records...
- ▶ Search holdings records...

Report date... 01/01/2000  
 ... date range 11/08/2008  
 Adviser ref CMD

Product basis  
 Provider  
 Introducer

Age from...  
 ... age to  
 Branch

Quit

The information is returned in the list format with additional options at the bottom of the page.



**Marketing campaign wizard**

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

Policy renewals between 01/01/2000 and 11/08/2008 by Clive McDonough

Contract holder	Adviser	Provider	Product type	Effective	
Hoyland, S M	CMD	Skandia	Maxi ISA	04/09/2006	Omit
Patel, D	CMD	Prudential	Personal Pension	01/10/2006	Omit

Switch campaign to corresponding clients Omit all deceased / do not mail records View records as a data table

At this point you have the option to omit any clients that you do not wish to contact, or that have the deceased/do not mail flag logged against their record To delete the records already flagged as deceased/do not mail use the link at the bottom of the page.



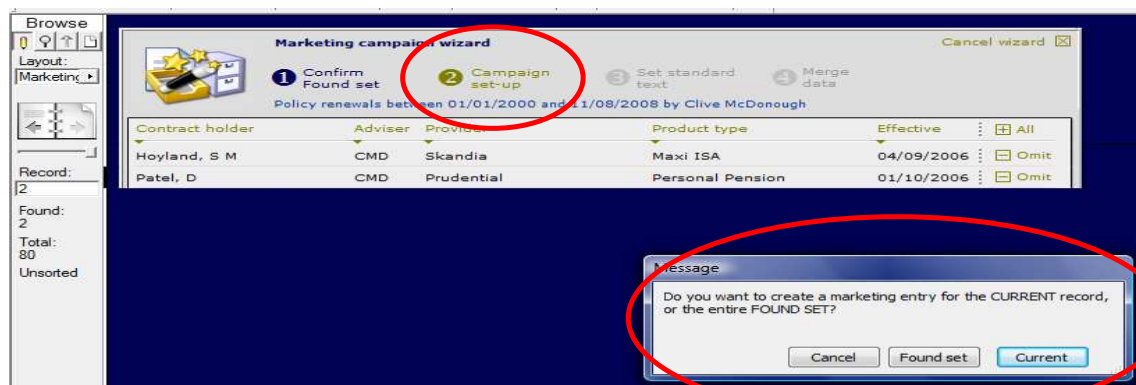


To omit individual records use the  at the end of each record.

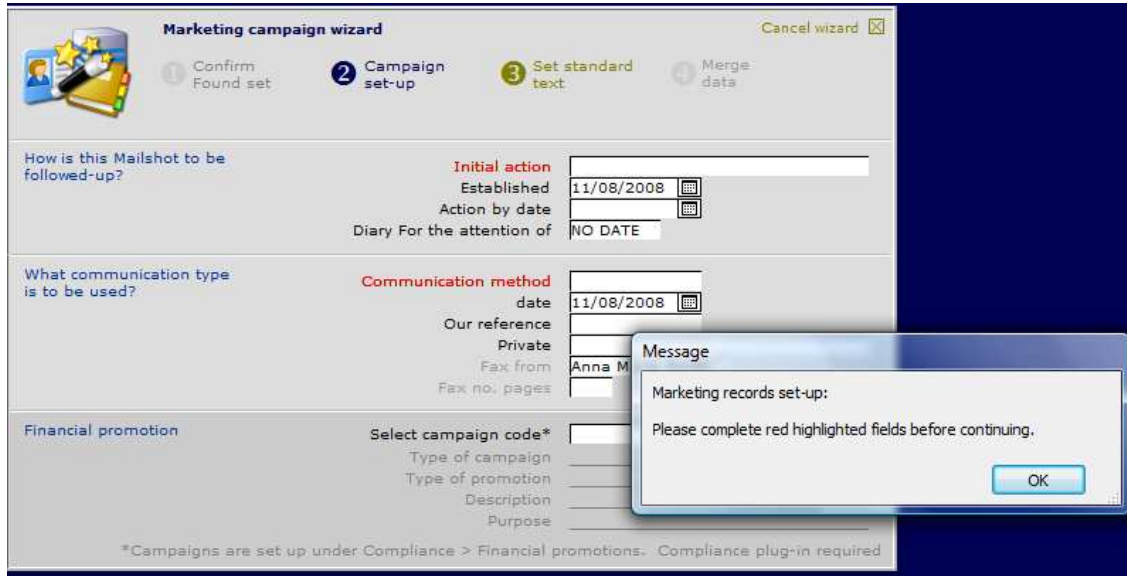
You now need to follow the four steps across the top of the screen to complete the marketing wizard.



1. Confirm found set has been completed. (as above)
2. Campaign set-up. This will now check that you wish to use the list of client found, just one client from the list or to cancel the marketing wizard.

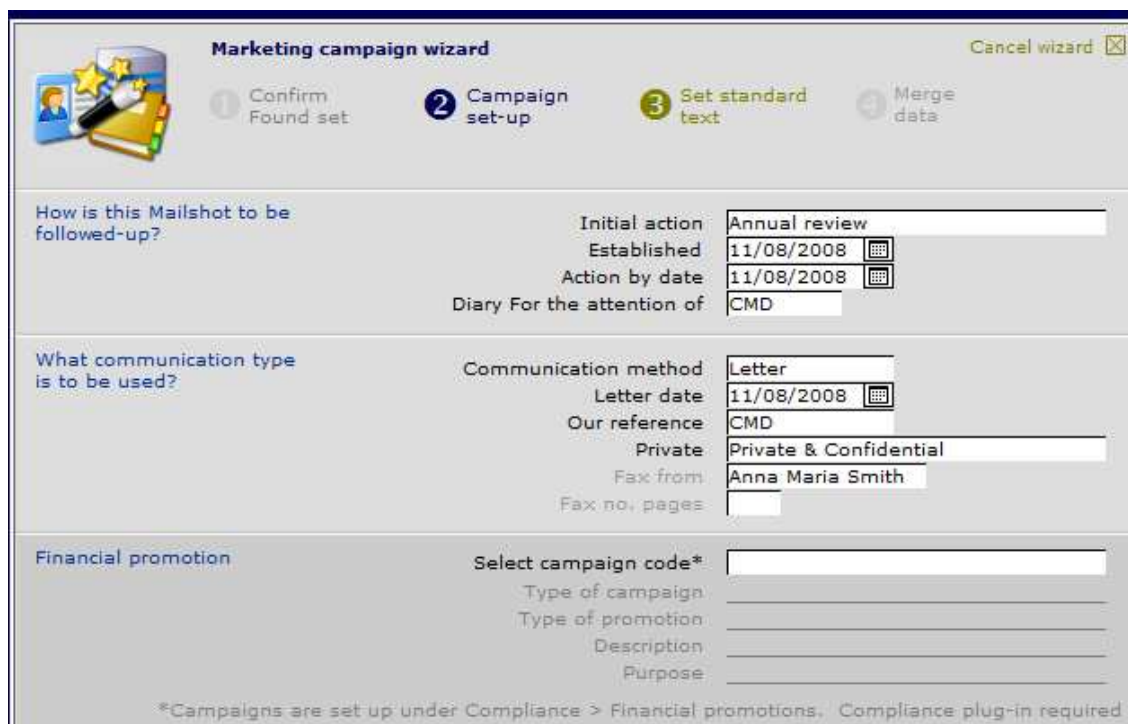


3. Set standard Text. Here you will attach a letter already created and saved in standard text for free type a new letter to be sent to all the clients in the found set.



The screenshot shows the 'Marketing campaign wizard' interface. The wizard has four steps: 1. Confirm Found set, 2. Campaign set-up, 3. Set standard text, and 4. Merge data. Step 3 is currently active. The form contains several sections: 'How is this Mailshot to be followed-up?' with fields for 'Initial action', 'Established' (11/08/2008), 'Action by date', and 'Diary For the attention of' (NO DATE); 'What communication type is to be used?' with fields for 'Communication method', 'date' (11/08/2008), 'Our reference', 'Private', 'Fax from' (Anna M), and 'Fax no. pages'; and 'Financial promotion' with a 'Select campaign code\*' dropdown and fields for 'Type of campaign', 'Type of promotion', 'Description', and 'Purpose'. A message dialog box is overlaid on the form, stating: 'Marketing records set-up: Please complete red highlighted fields before continuing.' with an 'OK' button. A footer note reads: '\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required'.

Complete the fields as required. If the compliance module is being used to monitor campaigns select the campaign code from the drop down box.



**Marketing campaign wizard** Cancel wizard ☐

1 Confirm Found set    2 Campaign set-up    3 Set standard text    4 Merge data

---

How is this Mailshot to be followed-up?

Initial action: Annual review

Established: 11/08/2008

Action by date: 11/08/2008

Diary For the attention of: CMD

---

What communication type is to be used?

Communication method: Letter

Letter date: 11/08/2008

Our reference: CMD

Private: Private & Confidential

Fax from: Anna Maria Smith

Fax no. pages:

---

Financial promotion

Select campaign code\*:

Type of campaign:

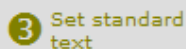
Type of promotion:

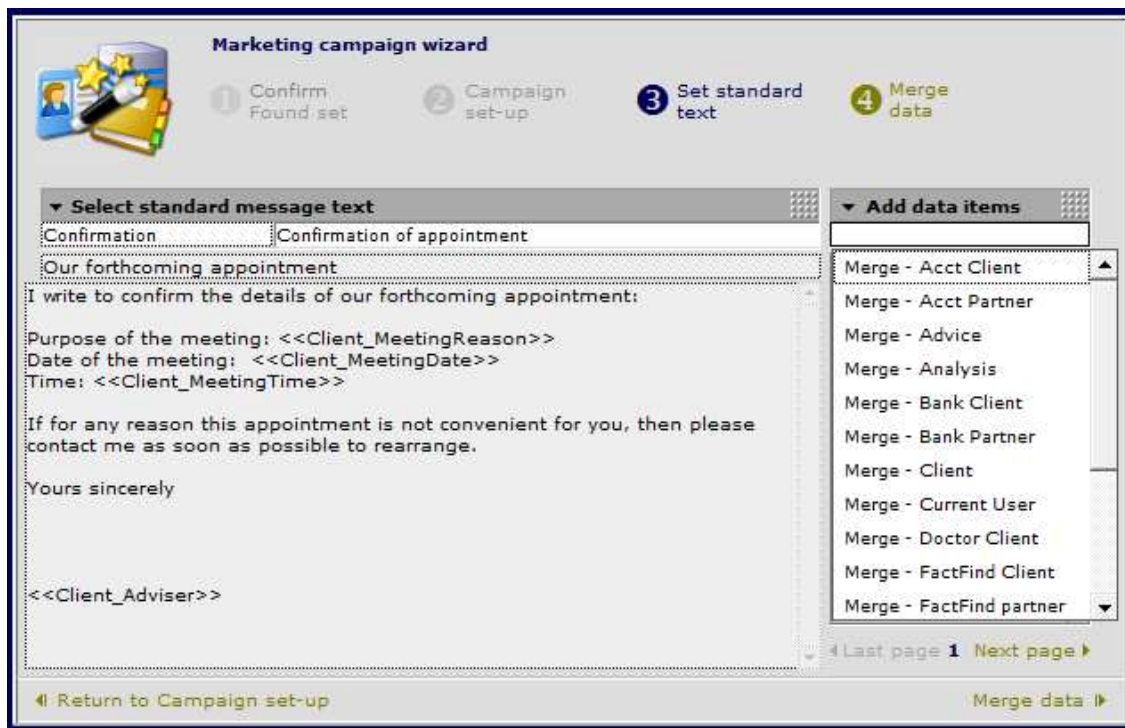
Description:

Purpose:

\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

3 Set standard text

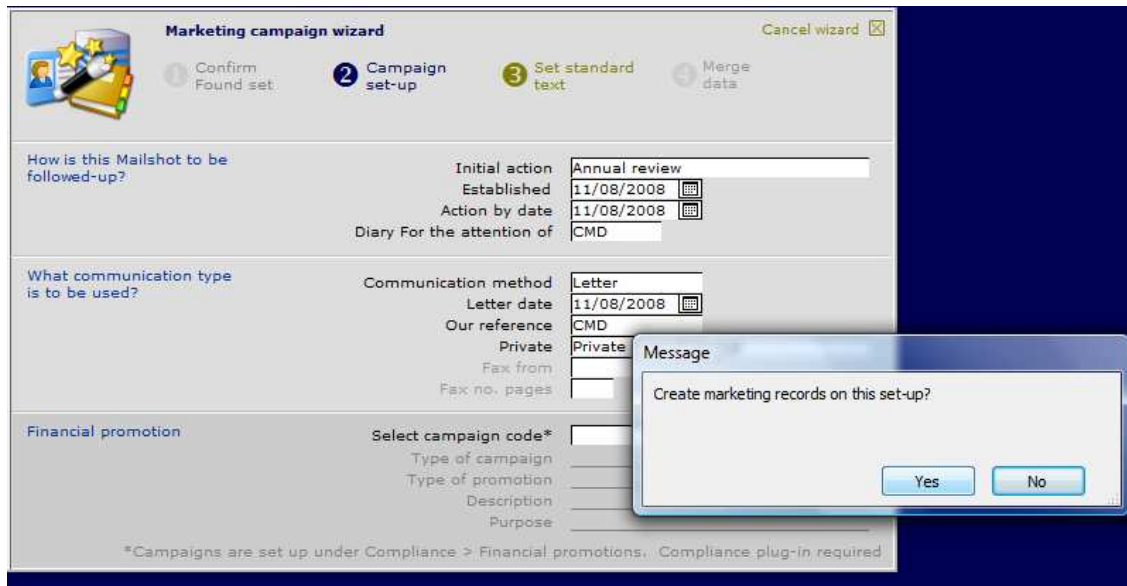
Click onto the  a second time and you will see the letter selection screen similar to the screen seen in work/tasks.



The screenshot shows the 'Marketing campaign wizard' interface. At the top, there are four steps: 1. Confirm Found set, 2. Campaign set-up, 3. Set standard text (highlighted), and 4. Merge data. The main area is divided into two sections: 'Select standard message text' and 'Add data items'. The 'Select standard message text' section contains a list of messages, with 'Confirmation of appointment' selected. The 'Add data items' section contains a list of merge fields, including 'Merge - Acct Client', 'Merge - Acct Partner', 'Merge - Advice', 'Merge - Analysis', 'Merge - Bank Client', 'Merge - Bank Partner', 'Merge - Client', 'Merge - Current User', 'Merge - Doctor Client', 'Merge - FactFind Client', and 'Merge - FactFind partner'. The bottom of the wizard has navigation buttons: 'Return to Campaign set-up', 'Last page 1', 'Next page', and 'Merge data'.

Select/type/create your letter using merge fields where required in exactly the same way as in work/tasks.

4. Merge Data. Click onto the merge data link and you will be asked to confirm that marketing records should be created for the found set.



**Marketing campaign wizard** Cancel wizard

1 Confirm Found set 2 **Campaign set-up** 3 Set standard text 4 Merge data

How is this Mailshot to be followed-up? Initial action: Annual review  
Established: 11/08/2008  
Action by date: 11/08/2008  
Diary For the attention of: CMD

What communication type is to be used? Communication method: Letter  
Letter date: 11/08/2008  
Our reference: CMD  
Private: Private  
Fax from:   
Fax no. pages:

Financial promotion Select campaign code\*  
Type of campaign:   
Type of promotion:   
Description:   
Purpose:

\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

**Message**  
Create marketing records on this set-up?  
Yes No

Once the data has been merged you will get the option to view the letters or to batch print them.



**Marketing campaign wizard** Exit wizard

1 Confirm Found set 2 Campaign set-up 3 **Set standard text** 4 Merge data


Congratulations, the marketing campaign is now complete.  
You can view Letter dated 11/08/2008 for Sylvia Hoyland and manually select print / preview options or batch Print all 2 Letters dated 11/08/2008

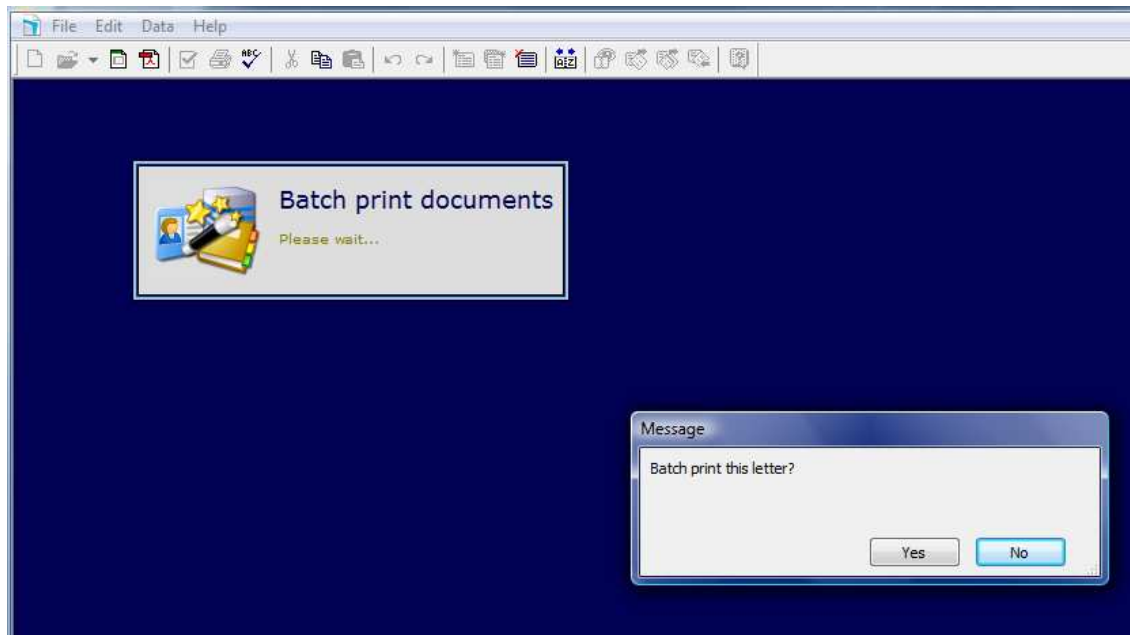
▶ View Letter dated 11 August 2008 for Sylvia Hoyland

🖨 Batch Print all 2 Letters dated 11/08/2008

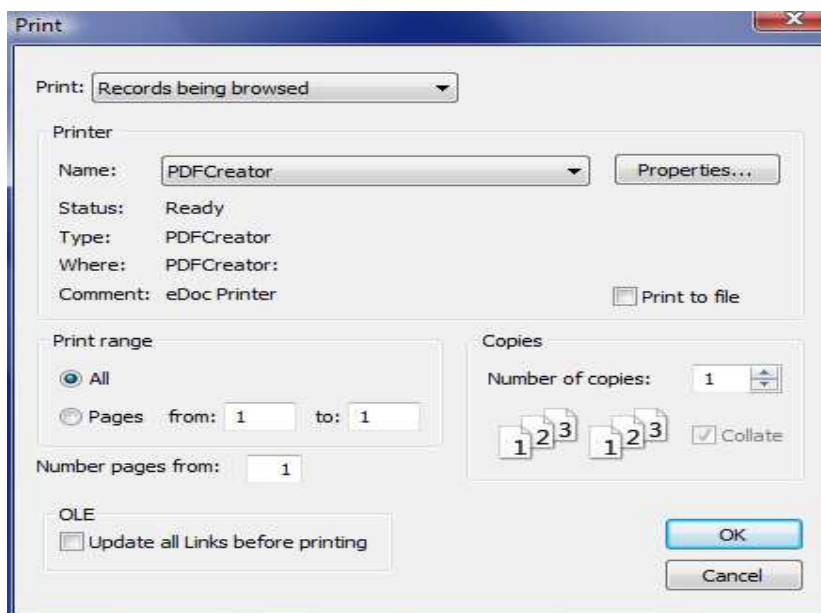
Select "Open marketing log entry" below to open the marketing record corresponding to this Sylvia Hoyland.

📁 Open corresponding marketing log entry

 Batch Print all 2 Letters dated 11/08/2008 will ask you to confirm that these letters should be batch printed.



You will then be asked to select your printer.



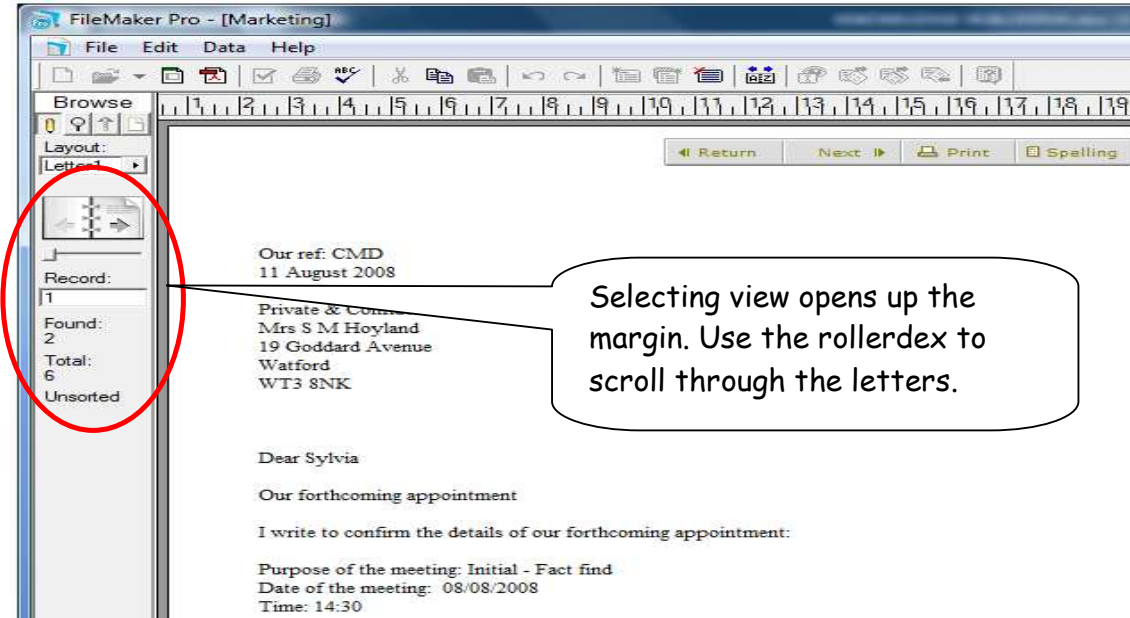
Once letters have been sent to the printer you will be returned to the merged data screen.



There is no option for additional formatting to these letters, they will print in standard font and size.

► View Letter dated 11 August 2008 for Sylvia Hoyland

will allow you to scroll through the letters, check that all merge fields have been added and amend any that have missing data or need additional information.

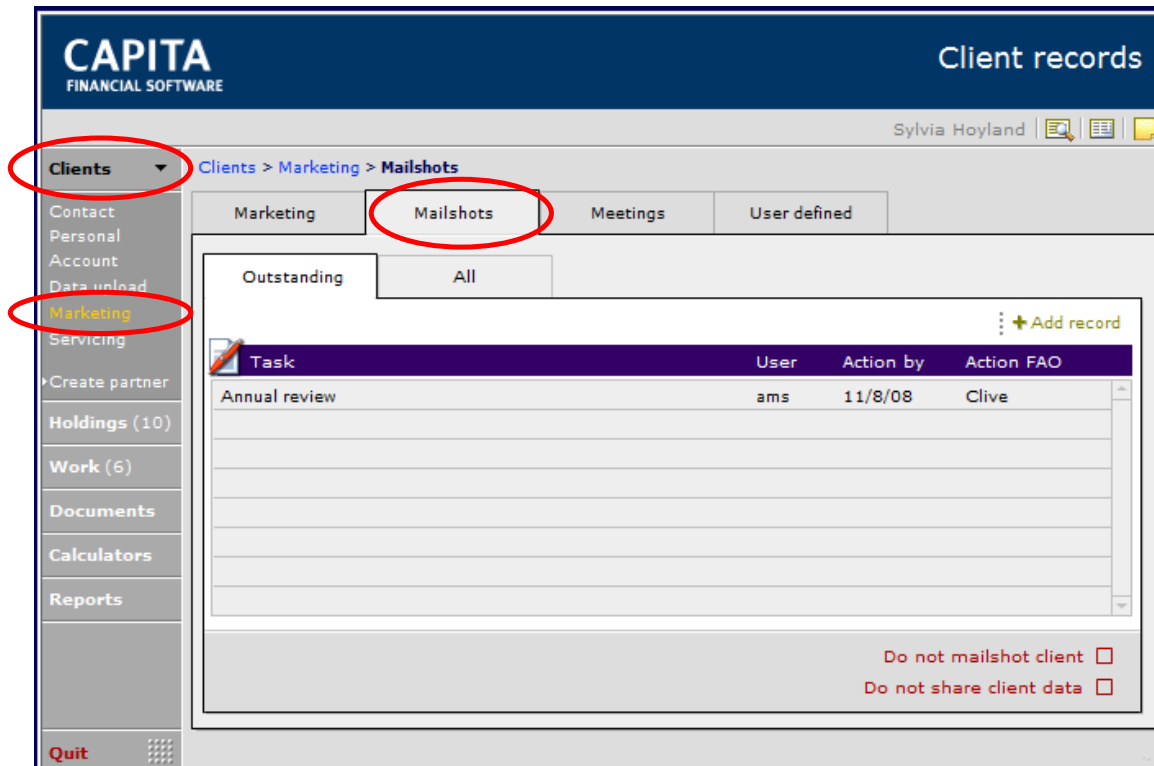


## 10. VIEWING THE CLIENTS MARKETING DIARY ENTRY

After entering a marketing campaign on the system each corresponding client will now have an entry in their marketing diary.

To view this go to the clients file and select marketing - mailsots.





If a date was set for the work to be done by then the marketing record will appear in outstanding. All completed campaigns will show in the all tab.

To view the details of the campaign click into the relevant line, You will be able to make any additional notes , complete the task or view the letter that was sent.

## 11. CREATING A MANUAL CAMPAIGN USING THE DATA TABLE

The process for creating your own marketing campaign is similar to that of the wizards, however, you are able to search for more detailed information.

**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin.

Commissions

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

Administration > Marketing > Wizards

I want to set up a marketing campaign based on...

▸ Clients of CMD who have plans due for review between 01/01/00 and 11/08/08

▸ All plans due to mature or expire between 01/01/00 and 11/08/08

▸ All clients due for their next periodic review between 01/01/00 and 11/08/08

▸ All plans taken out between 01/01/00 and 11/08/08

▸ All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08

▸ All clients of CMD who have no review date booked

▸ All plan holders currently aged between and

▸ Clients aged between and who do not have a plan

I want to create my own found set

▸ Search client records...

▸ Search holdings records...

Report date... 01/01/2000

Product basis

Age from...

... date range 11/08/2008

Provider

... age to

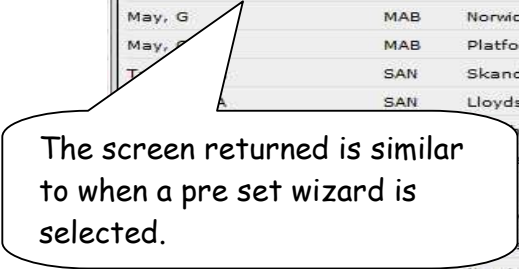
Adviser ref CMD

Introducer

Branch

Quit

The example below shows the screen returned for Search the holdings record.



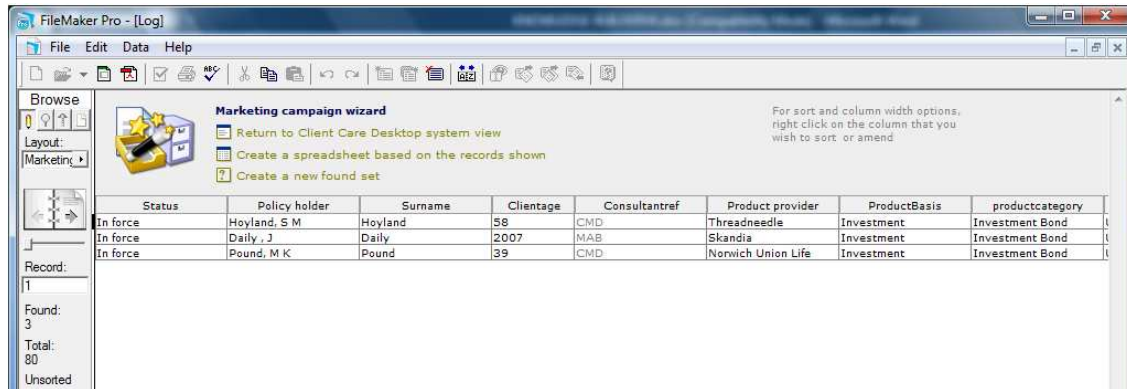
Click here to create your own found set.

[?](#) Create a new found set



The "

The example below shows all bonds held on a single basis with a contribution greater than £2000.



Marketing campaign wizard

- Return to Client Care Desktop system view
- Create a spreadsheet based on the records shown
- Create a new found set

For sort and column width options, right click on the column that you wish to sort or amend

Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory
In force	Hoyland, S M	Hoyland	58	CMD	Threadneedle	Investment	Investment Bond
In force	Daily, J	Daily	2007	MAB	Skandia	Investment	Investment Bond
In force	Pound, M K	Pound	39	CMD	Norwich Union Life	Investment	Investment Bond

Record: 1  
Found: 3  
Total: 80  
Unsorted

Click onto the  Return to Client Care Desktop system view.



Marketing campaign wizard

Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

All records listed as no search criteria specified

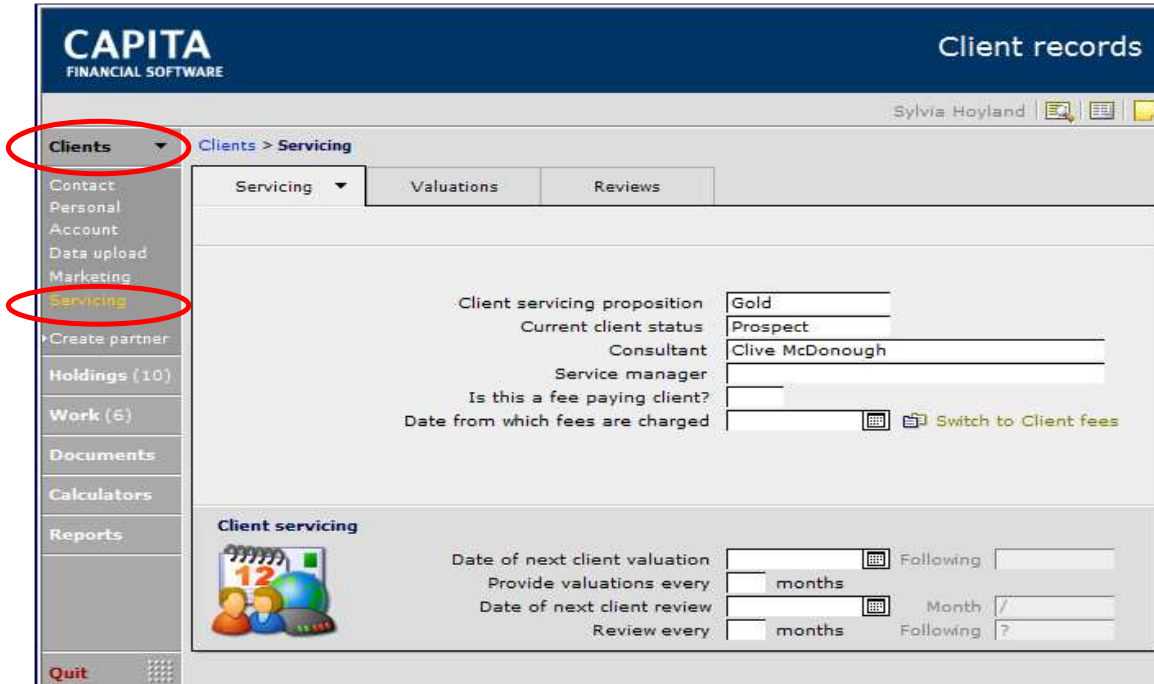
Contract holder	Adviser	Provider	Product type	Effective	
Hoyland, S M	CMD	Threadneedle Investments	Unit Linked Bond	06/09/2006	Omit
Daily, J	MAB	Skandia	Unit Linked Bond	07/02/2007	Omit
Pound, M K	CMD	Norwich Union Life	Unit Linked Bond	01.02.1990	Omit

Record: 1  
Found: 3  
Total: 80  
Unsorted

Continuing the campaign from this point onwards is exactly the same as previously described in this guide.

## 12. CLIENT SERVICING

Within the Clients Servicing screens there are a number of fields that can be completed in order to record next review and valuation dates.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

**Clients** ▾ Clients > Servicing

Service ▾ Valuations Reviews

Client servicing proposition Gold

Current client status Prospect

Consultant Clive McDonough

Service manager

Is this a fee paying client?

Date from which fees are charged

[Switch to Client fees](#)

**Client servicing**

Date of next client valuation Following

Provide valuations every months

Date of next client review Month /

Review every months Following ?

Quit

The top half of the servicing screen shows general information regarding the servicing proposition for the client. The bottom half of the screen allows more detailed information to be added around valuations and reviews.

To enter a review or valuation date, complete the date of next client review/valuation field and the Review/Value in XX months.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing

Servicing Valuations Reviews

Client servicing proposition Gold  
Current client status Prospect  
Consultant Clive McDonough  
Service manager  
Is this a fee paying client?  
Date from which fees are charged

Switch to Client fees

**Client servicing**

Date of next client valuation 01/08/2008 Following 30/01/2009  
Provide valuations every 6 months  
Date of next client review 01/09/2008 Month 9/2008  
Review every 12 months Following 01/09/2009

Quit

## 12.1. Reviews

**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Reviews

Servicing Valuations Reviews

Provider	Contract type	Status	Renewal	Review	Reason
AXA	Section 32 Buyout plan\$104	Paid up	01/07/09		
Barclays Life	Personal Equity Plan	Matured	01/05/09		
Canada Life	Personal Pension	In force	01/08/08		
Scottish Equitable	Personal Pension	In force	01/06/09		
Skandia	Maxi ISA	In force	04/09/08	01/05/07	
Threadneedle	Unit Linked Bond	In force	06/09/08		
Zurich	Flexible Whole of Life	In force	01/03/09		

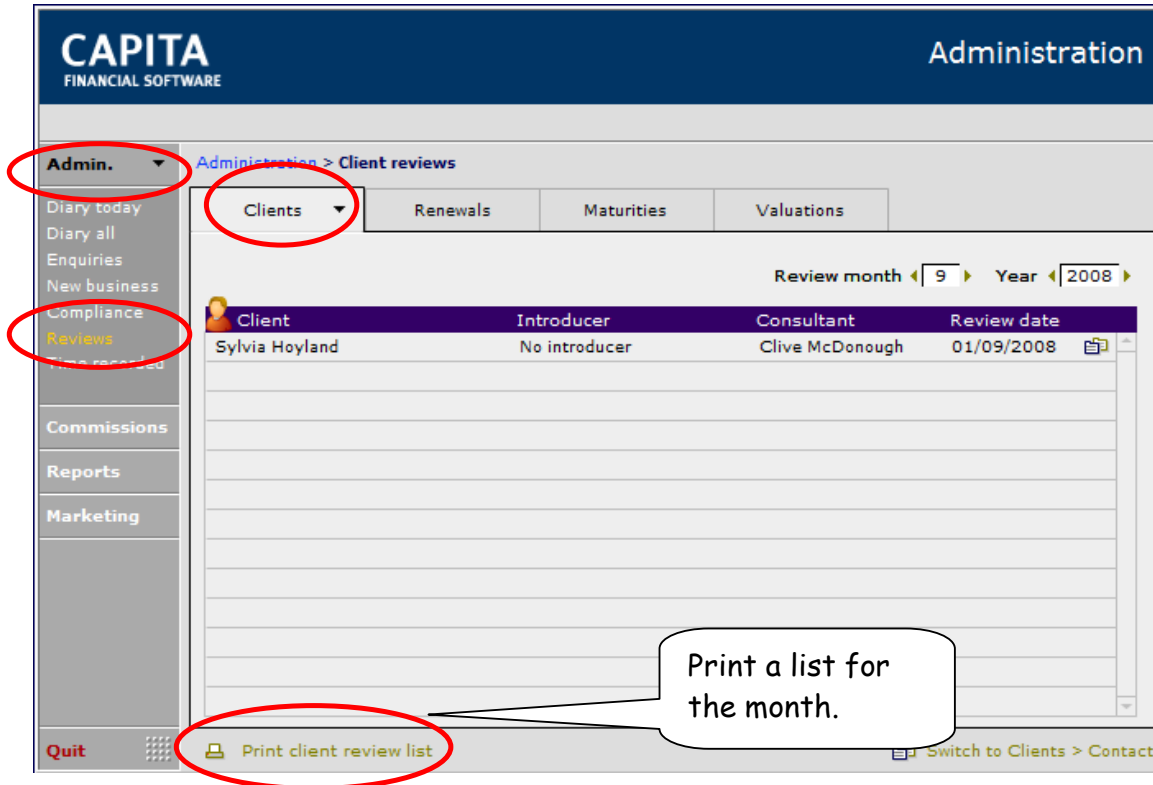
Create a contract review schedule

Set all Next review dates to Next renewal date shown  
Set all Review dates to 01/09/2008

Quit







**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. Administration > Client reviews

Clients Renewals Maturities Valuations

Review month 9 Year 2008

Client	Introducer	Consultant	Review date
Sylvia Hoyland	No introducer	Clive McDonough	01/09/2008

Print client review list

Print a list for the month.

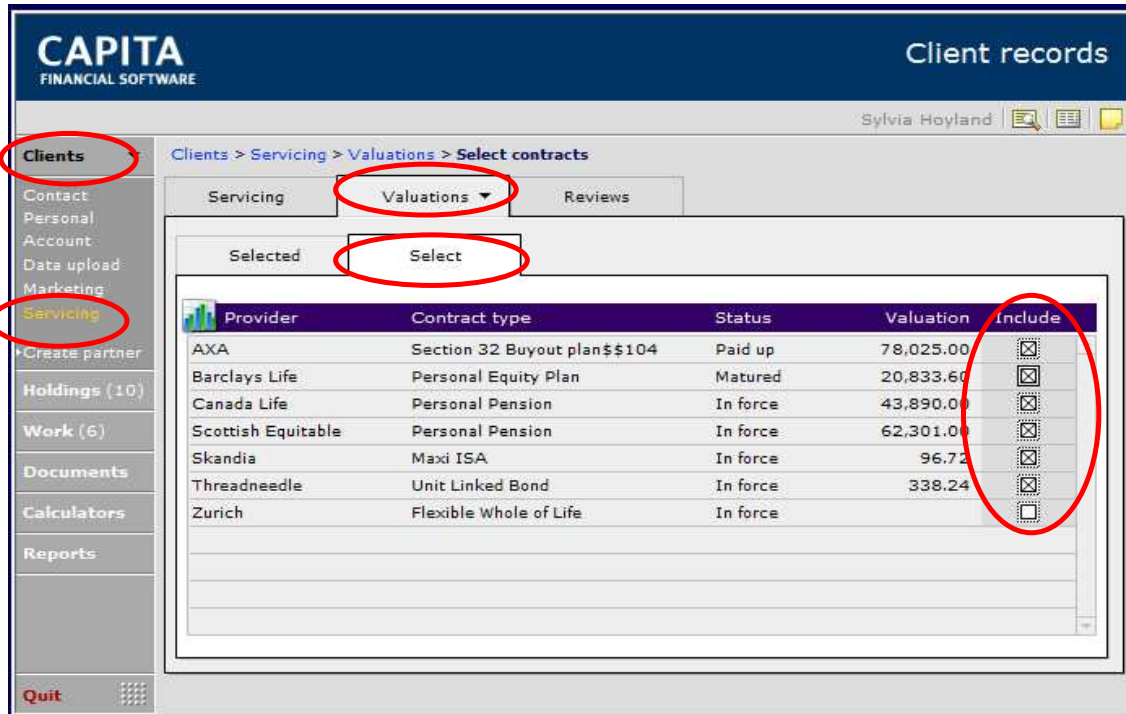
Quit Switch to Clients > Contact

Renewals, maturities and valuations display in the same way as the clients with the option to print lists as required. The only difference being that on the valuations tab the date is set daily or for the next 7 days and not for a month at a time.

## 13. VALUATIONS

### 13.1. Scheduled Client Valuations

In the valuations tab there are 2 sections Select and Selected. Initially you need to go to the select tab. Here will be list of all the clients policies/holdings.



**Client records**

Sylvia Hoyland

**Clients** Clients > Servicing > Valuations > Select contracts

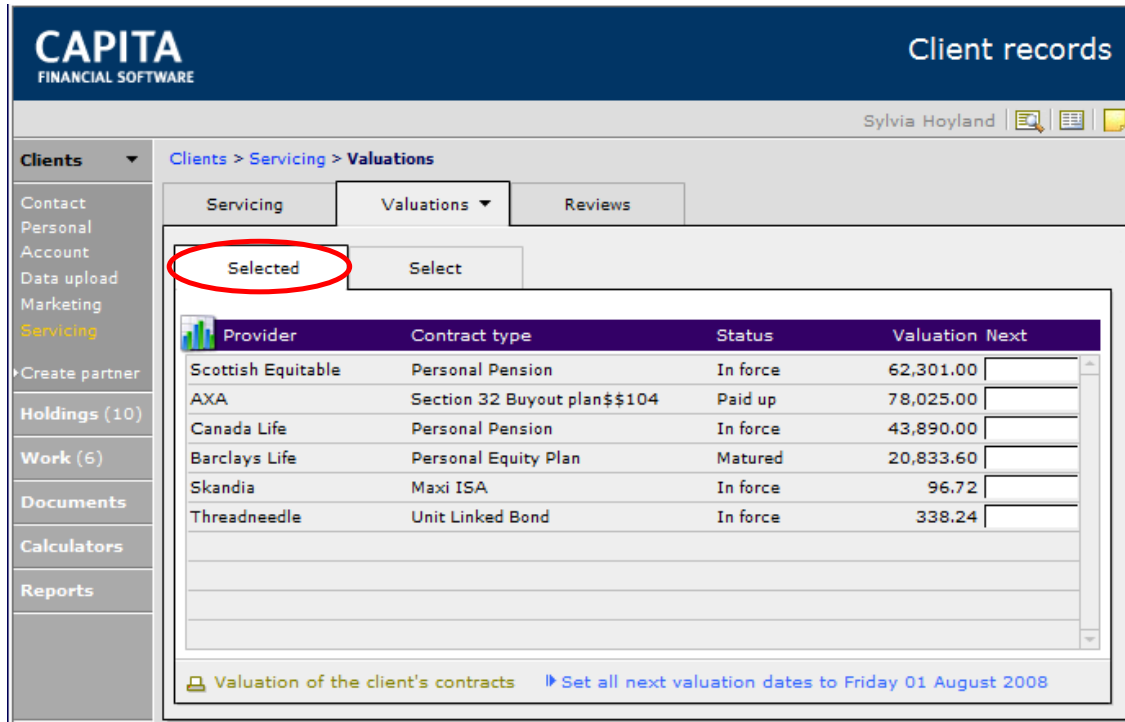
Servicing Valuations Reviews

Selected Select

Provider	Contract type	Status	Valuation	Include
AXA	Section 32 Buyout plan\$104	Paid up	78,025.00	<input checked="" type="checkbox"/>
Barclays Life	Personal Equity Plan	Matured	20,833.60	<input checked="" type="checkbox"/>
Canada Life	Personal Pension	In force	43,890.00	<input checked="" type="checkbox"/>
Scottish Equitable	Personal Pension	In force	62,301.00	<input checked="" type="checkbox"/>
Skandia	Maxi ISA	In force	96.72	<input checked="" type="checkbox"/>
Threadneedle	Unit Linked Bond	In force	338.24	<input checked="" type="checkbox"/>
Zurich	Flexible Whole of Life	In force		<input type="checkbox"/>

Quit

Mark the check box for each policy/holding that will require valuation. These will now appear in the Selected tab.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Valuations

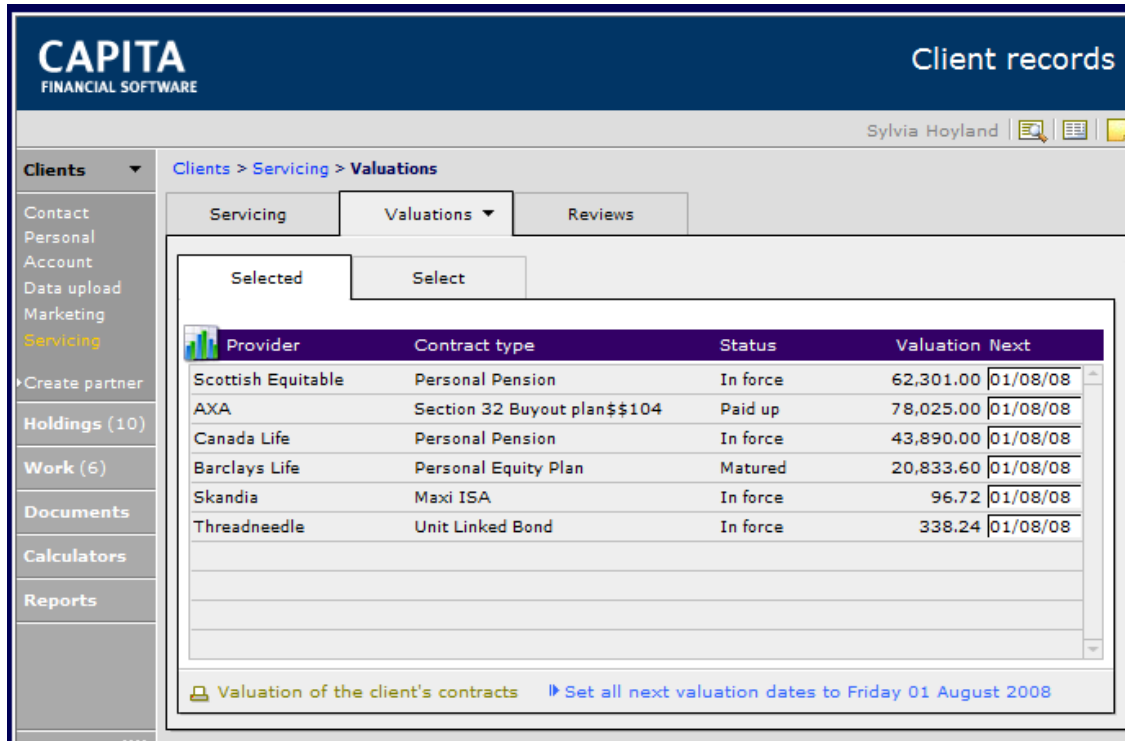
Servicing Valuations Reviews

Selected Select

Provider	Contract type	Status	Valuation	Next
Scottish Equitable	Personal Pension	In force	62,301.00	
AXA	Section 32 Buyout plan\$104	Paid up	78,025.00	
Canada Life	Personal Pension	In force	43,890.00	
Barclays Life	Personal Equity Plan	Matured	20,833.60	
Skandia	Maxi ISA	In force	96.72	
Threadneedle	Unit Linked Bond	In force	338.24	

Valuation of the client's contracts [Set all next valuation dates to Friday 01 August 2008](#)

If any policy valuation dates have been set on the individual policy/holding then these dates will have fed through to the selected screen. Using the blue link [Set all next valuation dates to Friday 01 August 2008](#) at the bottom of the screen will insert the next due valuation date as set on servicing tab.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Valuations

Servicing Valuations Reviews

Selected Select

Provider	Contract type	Status	Valuation	Next
Scottish Equitable	Personal Pension	In force	62,301.00	01/08/08
AXA	Section 32 Buyout plan\$104	Paid up	78,025.00	01/08/08
Canada Life	Personal Pension	In force	43,890.00	01/08/08
Barclays Life	Personal Equity Plan	Matured	20,833.60	01/08/08
Skandia	Maxi ISA	In force	96.72	01/08/08
Threadneedle	Unit Linked Bond	In force	338.24	01/08/08

Valuation of the client's contracts Set all next valuation dates to Friday 01 August 2008

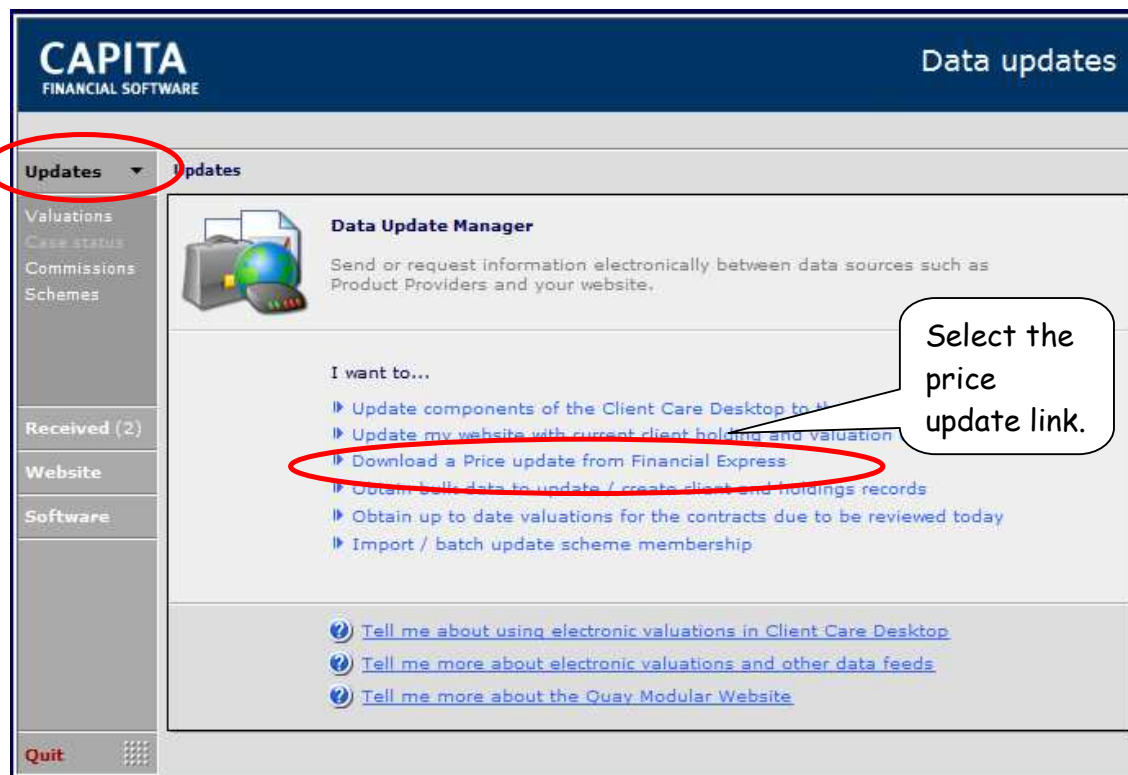
These will appear in the admin reviews tab as specified above.

## 13.2. Using Financial Express to Value holdings

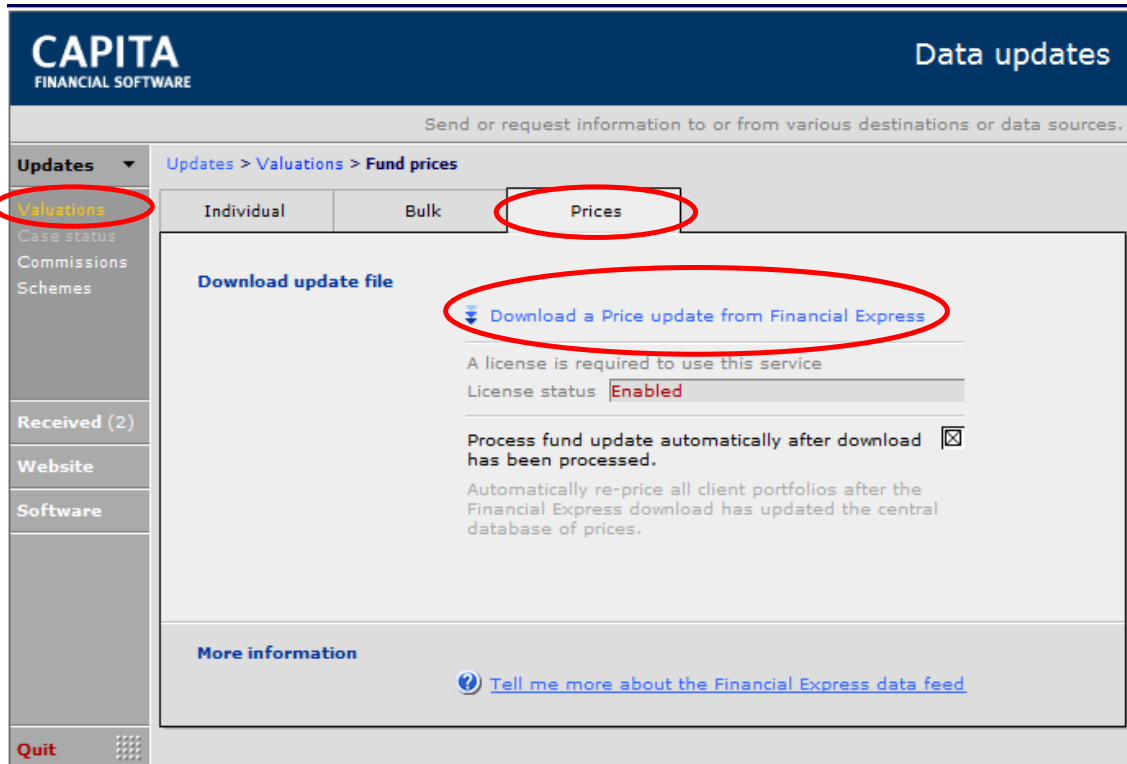
The financial express download performs several functions.

- Deletes the existing fund data table.
- Imports the new fund data table from financial express.
- Updates fund attached to clients holdings with the new bid price (and therefore a new value) where an exact match can be made between the fund attached to the holding and the fund information on the fund data table.

To access the financial express price feed you will need to go to the Updates module from the main CCD menu.



You can select to download the price update from the front screen or select valuations from the menu on the left hand side.



**CAPITA**  
FINANCIAL SOFTWARE

Data updates

Send or request information to or from various destinations or data sources.

Updates ▾ Updates > Valuations > Fund prices

Individual Bulk Prices

**Download update file**

Download a Price update from Financial Express

A license is required to use this service  
License status **Enabled**

Process fund update automatically after download ☒  
has been processed.

Automatically re-price all client portfolios after the Financial Express download has updated the central database of prices.

**More information**

[Tell me more about the Financial Express data feed](#)

Quit



**CAPITA**  
FINANCIAL SOFTWARE

Data updates

Updates ▾ Updates

Valuations  
Case status  
Commissions  
Schemes

Received (2)  
Website  
Software

**Data update manager**

The request has been submitted to the data provider selected.

If you were sending data then the data is being sent now and you can continue using the system.

If you are expecting to receive data back then it should arrive shortly, depending on the service used.

You will be notified when the data arrives by a pop-up window appearing to the right hand side and at the bottom of your screen.

To process the data once it has arrived click on Update from the front screen and then Received data.

**Quay message alert**

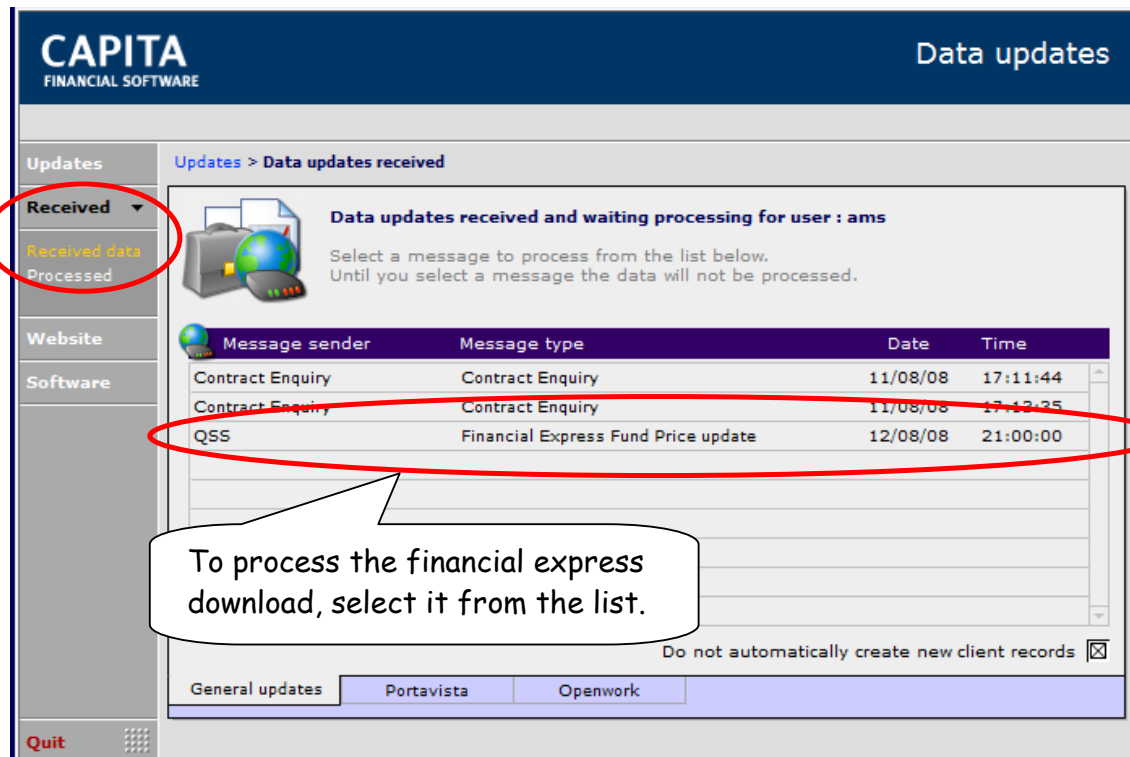
New Message:  
QSS

(Example message)

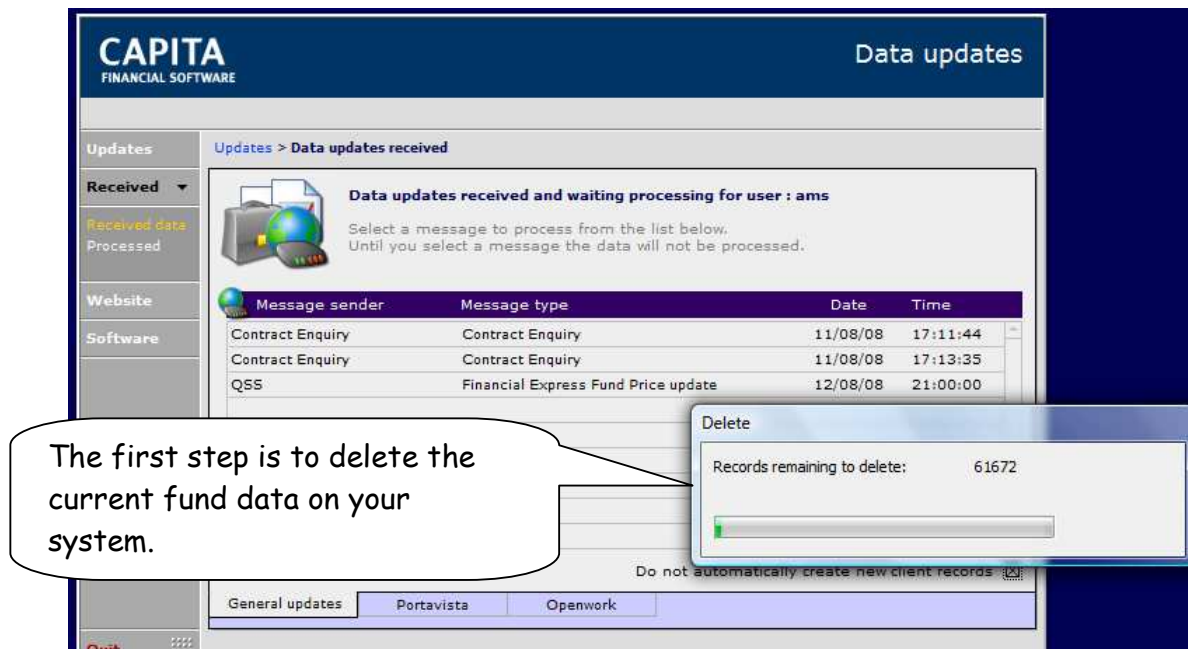
When this message is received in the bottom left of your screen go to the received section of updates.

em whilst your request is processed

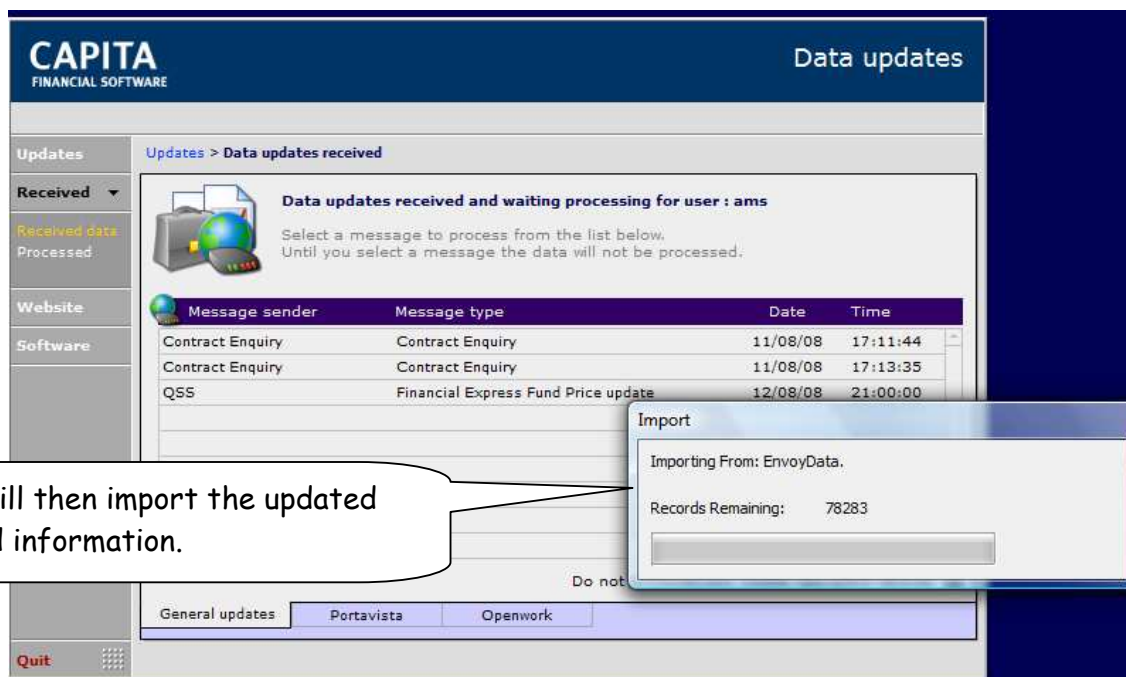
Quit



Once the update is started it will automatically run through each step as below.







**CAPITA**  
FINANCIAL SOFTWARE

**Data updates**

Updates > Data updates received

**Received** ▼

Received data  
Processed

Website

Software

**Data updates received and waiting processing for user : ams**

Select a message to process from the list below.  
Until you select a message the data will not be processed.

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

**Import**

Importing From: EnvoyData.

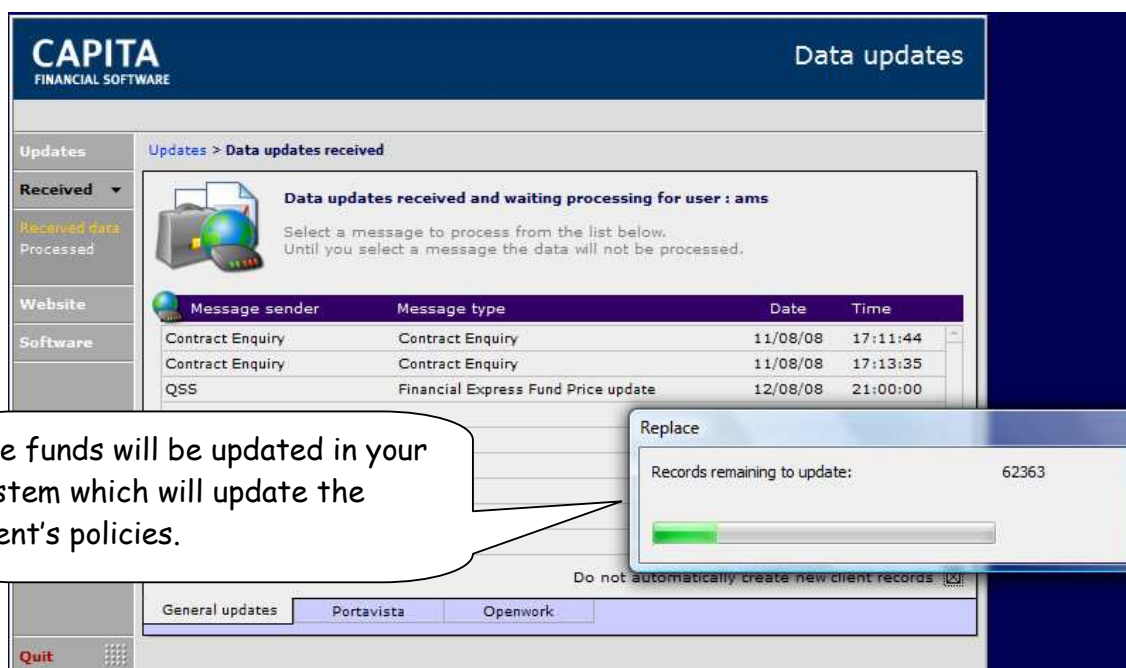
Records Remaining: 78283

Do not

General updates Portavista Openwork

Quit

It will then import the updated fund information.



**CAPITA**  
FINANCIAL SOFTWARE

**Data updates**

Updates > Data updates received

**Received** ▼

Received data  
Processed

Website

Software

**Data updates received and waiting processing for user : ams**

Select a message to process from the list below.  
Until you select a message the data will not be processed.

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

**Replace**

Records remaining to update: 62363

Do not automatically create new client records [X]

General updates Portavista Openwork

Quit

The funds will be updated in your system which will update the client's policies.

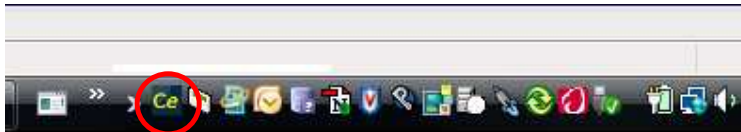
## 14. CONTRACT ENQUIRY

In order to use contract enquiry you must first ensure that you have signed up for this free service with the relevant product providers. You will also then need to configure your individual machines ready for use.

Documentation on how to sign up and implement contract enquiry can be found on our web site [www.quaysoftware.co.uk](http://www.quaysoftware.co.uk) in the downloads section.

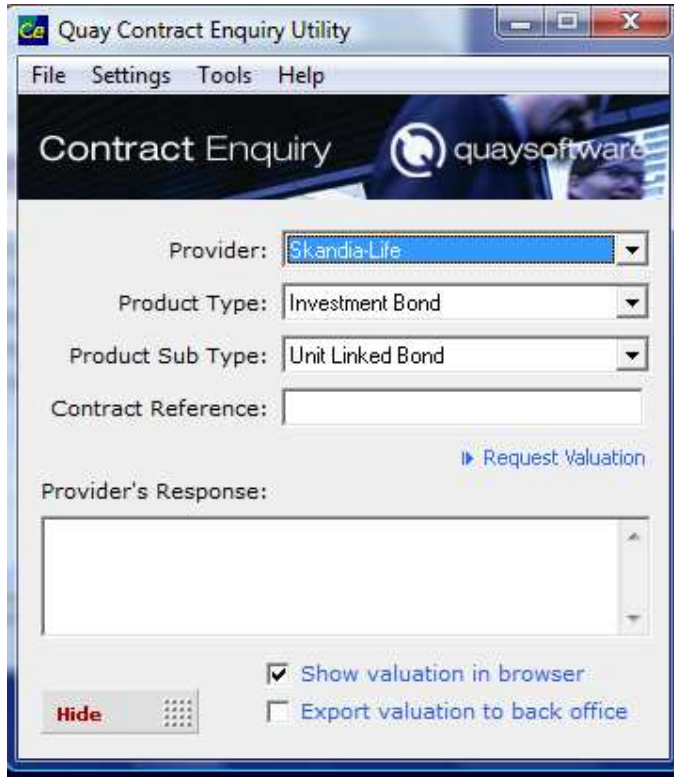
Once signed up for contract enquiry there are a number of options available in order to get information from the contract enquiry providers.

The first method is to connect to contract enquiry using the "CE" icon which you will find in your systems tray.



This method is designed to get individual valuation information one at a time on an ad-hoc basis.

Once you have clicked on the icon the following screen will appear.



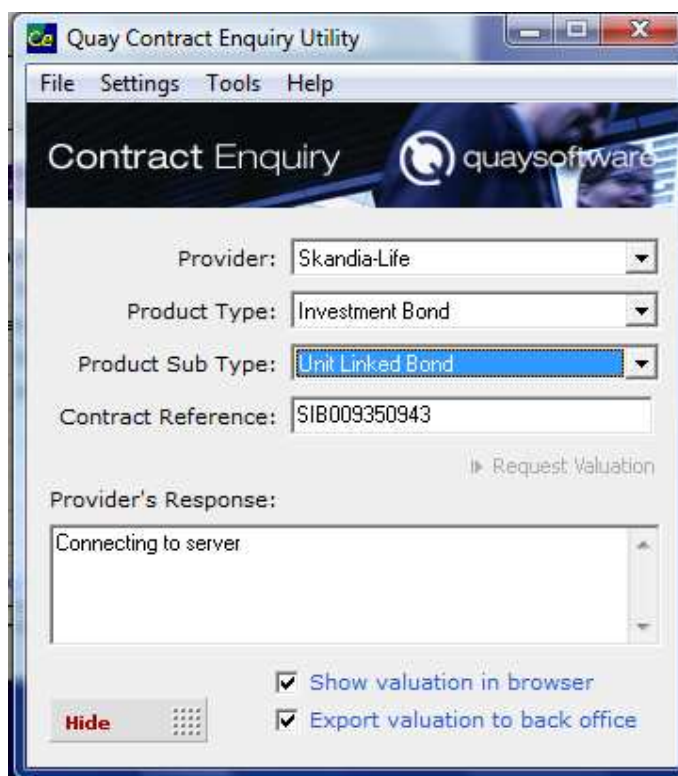
You will need to select the Provider, Product Type and Product Sub Type from the drop down menu's and then type in the Contract reference number. You must type the contract reference number in full as supplied by the provider. Also select how you want the valuation returned. ☒ Show valuation in browser, ☐ Export valuation to back office or select both together.

☒ Show valuation in browser will produce an on screen valuation indicating the client's contract details and fund information.

☐ Export valuation to back office is ticked then the system will produce an entry back into CCD and will update the client's holdings information.

Once you have completed all details click on the [Request Valuation](#) link.


The system will now connect to the providers server.



When the ☒ [Export valuation to back office](#) link has been selected a confirmation message will pop up informing you that a message has been received into CCD.



Once this message is received then the contract enquiry window will confirm its status in the Providers response box.



Quay Contract Enquiry Utility

File Settings Tools Help

Contract Enquiry quaysoftware

Provider: Skandia-Life

Product Type: Investment Bond

Product Sub Type: Unit Linked Bond

Contract Reference: SIB009350943

[Request Valuation](#)

Provider's Response:


Successful Enquiry  
This statement shows the investment allocation for your plan.  
The allocation is notional and does not confer any rights distinct  
from those set out in the policy terms and conditions. This

☒ Show valuation in browser

☒ Export valuation to back office

Hide

If you have also ticked ☒ Show valuation in browser then on screen a valuation report similar to the one below will appear.



## Valuation Report

### Valuation

Current contract status: In Force

Contract holder: Mary Demo Black

Contract provider: Skandia-Life

Contract number: SIB009350943

Product type: Investment Bond

Product subtype: Unit Linked Bond

Date: 11/08/2008

Time: 17:13:35

### Current holdings

Fund name	Type of units held	Number of units held	Units valid at (date)	Unit price	Price valid (date)	Current value	Valuation currency
Balanced	Accumulation	14.4084	11/08/2008	7.6380	11/08/2008	110.05	GBP
Deposit	Accumulation	26.2599	11/08/2008	4.3220	11/08/2008	113.50	GBP
Cautious Life	Accumulation	45.4951	11/08/2008	2.4770	11/08/2008	112.69	GBP

### Current surrender value ()

**Surrender value**

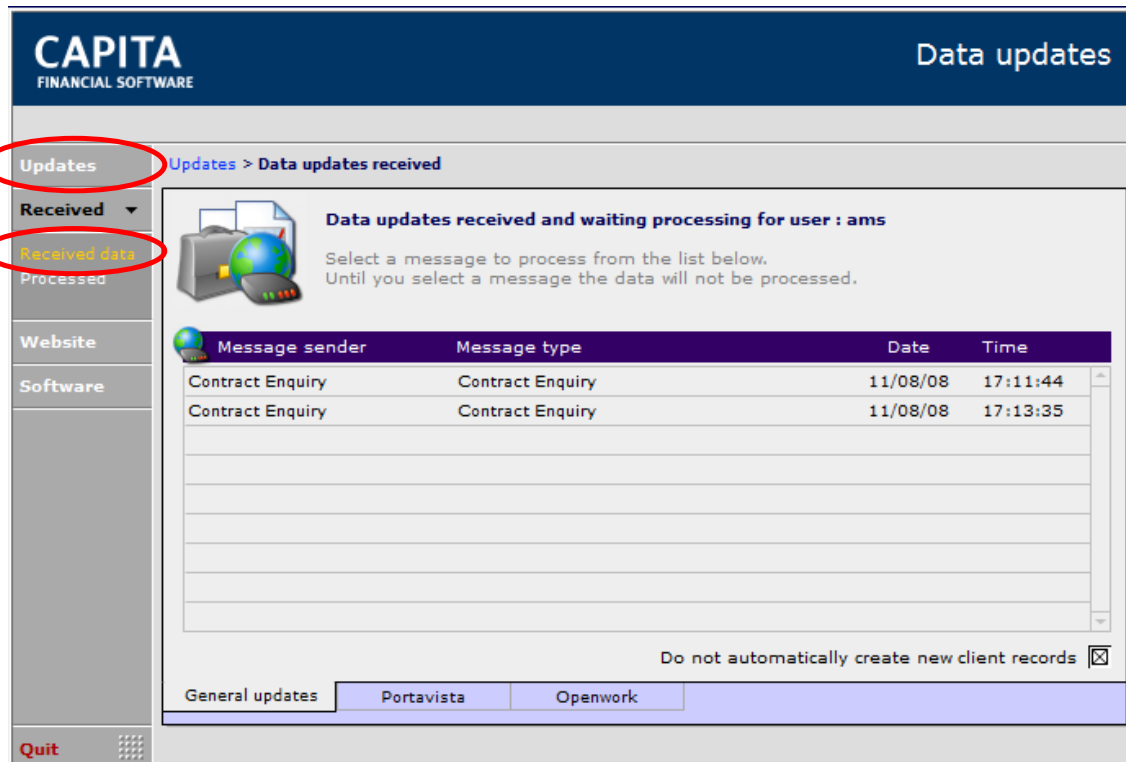
Surrender value amount N/A

Surrender value terminal bonus N/A

Surrender value total exit charge amount N/A

Surrender value timestamp N/A

If you have chosen to export the information from contract enquiry back into CCD then you will now need to go to the Updates Received area of the system.

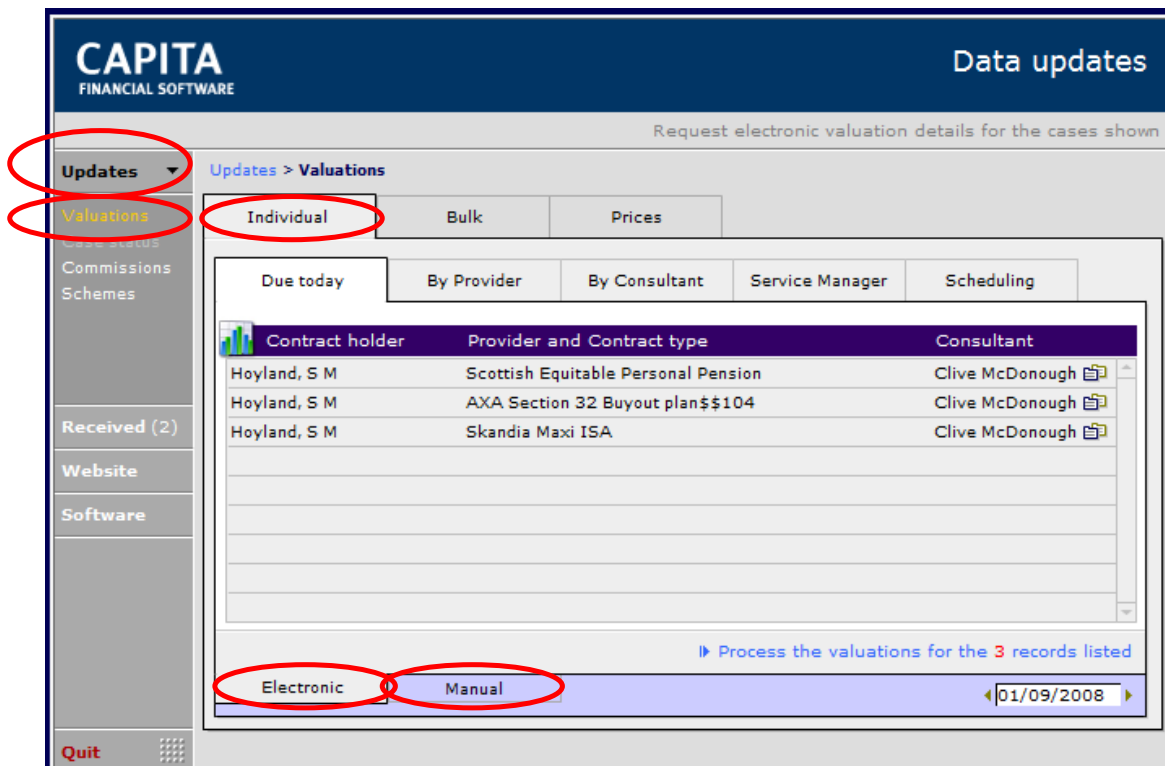


To process the download simply click onto the relevant message the system will populate the details back into CCD. If there is a problem with any of the messages, details are missing or incorrect then a message informing you of the problem will be displayed.



## 15. BULK VALUATIONS

By selecting the contracts to be valued in the clients servicing section of CCD and setting the next valuation date you will be able to take advantage of the bulk updates facility in the updates section of CCD. To see these entries go to the Updates Valuation screens.



**CAPITA**  
FINANCIAL SOFTWARE

Data updates

Request electronic valuation details for the cases shown

Updates > Valuations

Individual Bulk Prices

Due today By Provider By Consultant Service Manager Scheduling

Contract holder	Provider and Contract type	Consultant
Hoyland, S M	Scottish Equitable Personal Pension	Clive McDonough
Hoyland, S M	AXA Section 32 Buyout plan\$104	Clive McDonough
Hoyland, S M	Skandia Maxi ISA	Clive McDonough

Process the valuations for the 3 records listed

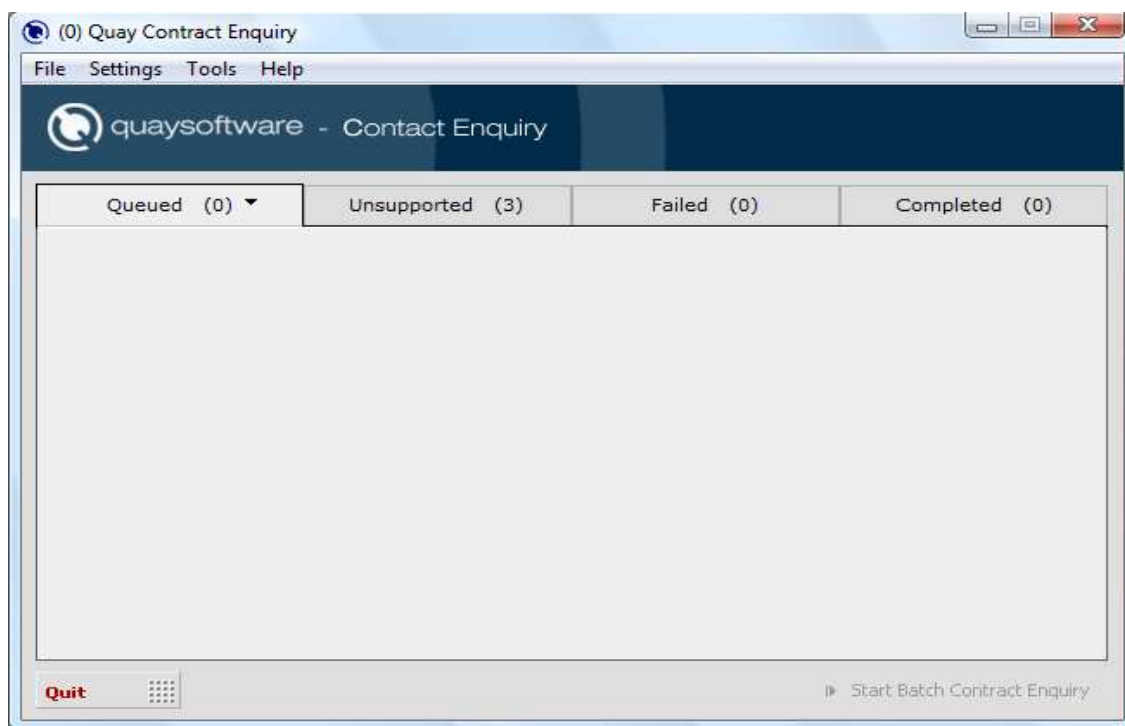
Electronic Manual

01/09/2008


All valuations selected as due today in the Clients servicing section will appear in either the electronic or manual tabs of the Updates Valuations.

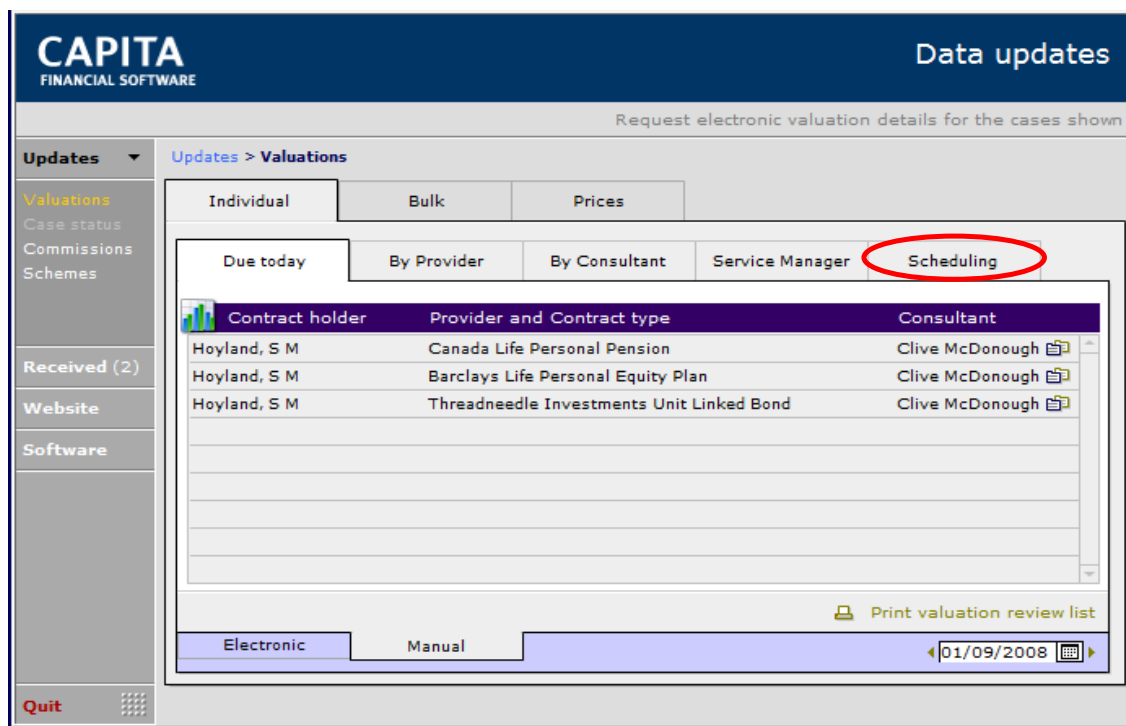
Under the electronic valuations all contracts that can be valued by Contract Enquiry will be listed. This list may comprise of more than 1 client.

To process all the contract enquiry valuations on bulk click onto the [Process the valuations for the 3 records listed](#) link. This will take you through to the Bulk contract enquiry screen.



All the contracts waiting for valuation via contract enquiry will be listed here

click onto the  . All the valuations will then carry over to the received tab in the updates section ready for update to the clients holdings. Any contracts that cannot be valued via contract enquiry will be listed on the manual tab. You will need to perform manual valuations on these before proceeding.



**CAPITA**  
FINANCIAL SOFTWARE

Data updates

Request electronic valuation details for the cases shown

**Updates** ▾ **Updates > Valuations**

Individual Bulk Prices

Due today By Provider By Consultant Service Manager **Scheduling**

Contract holder	Provider and Contract type	Consultant
Hoyland, S M	Canada Life Personal Pension	Clive McDonough
Hoyland, S M	Barclays Life Personal Equity Plan	Clive McDonough
Hoyland, S M	Threadneedle Investments Unit Linked Bond	Clive McDonough

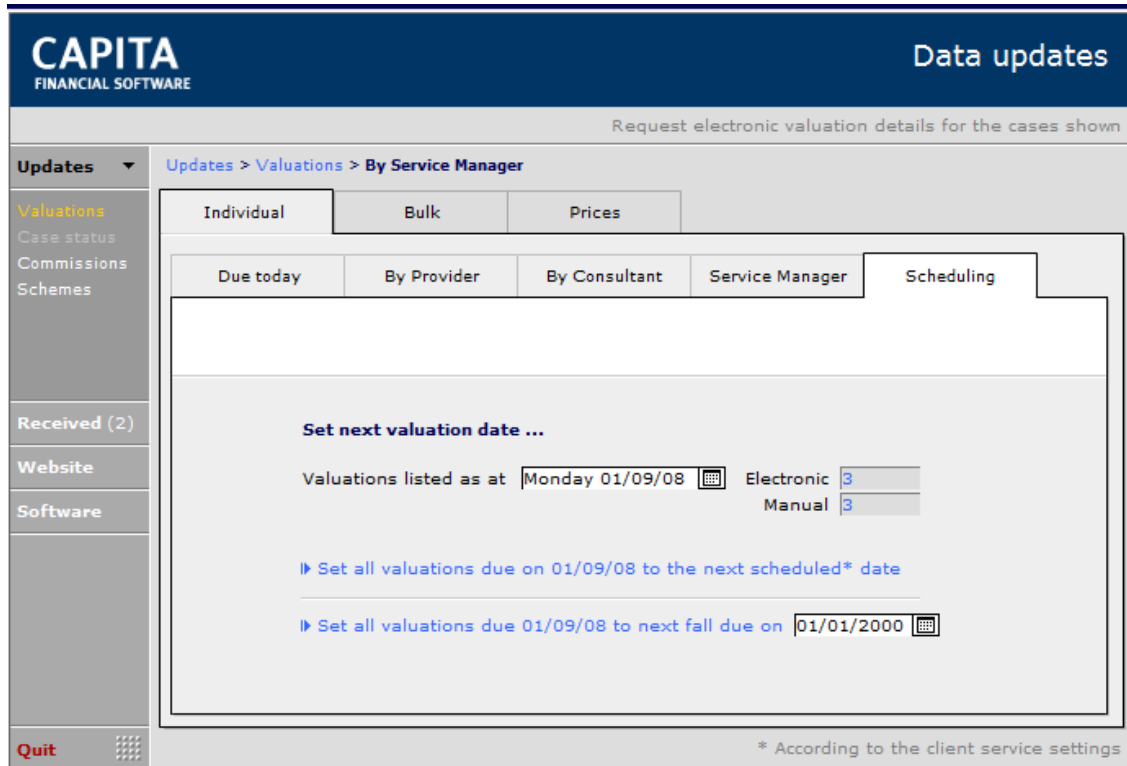
Print valuation review list

Electronic Manual

◀ 01/09/2008 ▶

**Quit**

Once all the valuations have been completed go to the Scheduling tab



On the scheduling tab there are 2 options for resetting the valuation dates for all the contracts listed for valuation today.

▶ Set all valuations due on 01/09/08 to the next scheduled\* date

This option will look at the “rule” set up in each clients servicing details and re-diarise the valuation accordingly.

▶ Set all valuations due 01/09/08 to next fall due on 01/01/2000

Here you have the option to move all the valuations due today to another date on mass. This is especially useful if there is staff sickness/holiday and you want to move the diary forward a couple of days.

To demonstrate this below is a screen shot of the clients valuations set in

servicing after ▶ Set all valuations due on 01/09/08 to the next scheduled\* date has been selected.

**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

**Clients** > Servicing

Servicing Valuations Reviews

Client servicing proposition: Gold  
 Current client status: Prospect  
 Consultant: Clive McDonough  
 Service manager:   
 Is this a fee paying client?   
 Date from which fees are charged:   
[Switch to Client fees](#)

**Client servicing**

Date of next client valuation: 01/09/2008 Following 02/03/2009  
 Provide valuations every: 6 months  
 Date of next client review: 01/09/2008 Month 9/2008  
 Review every: 12 months Following 01/09/2009

**CAPITA**  
FINANCIAL SOFTWARE

Client records

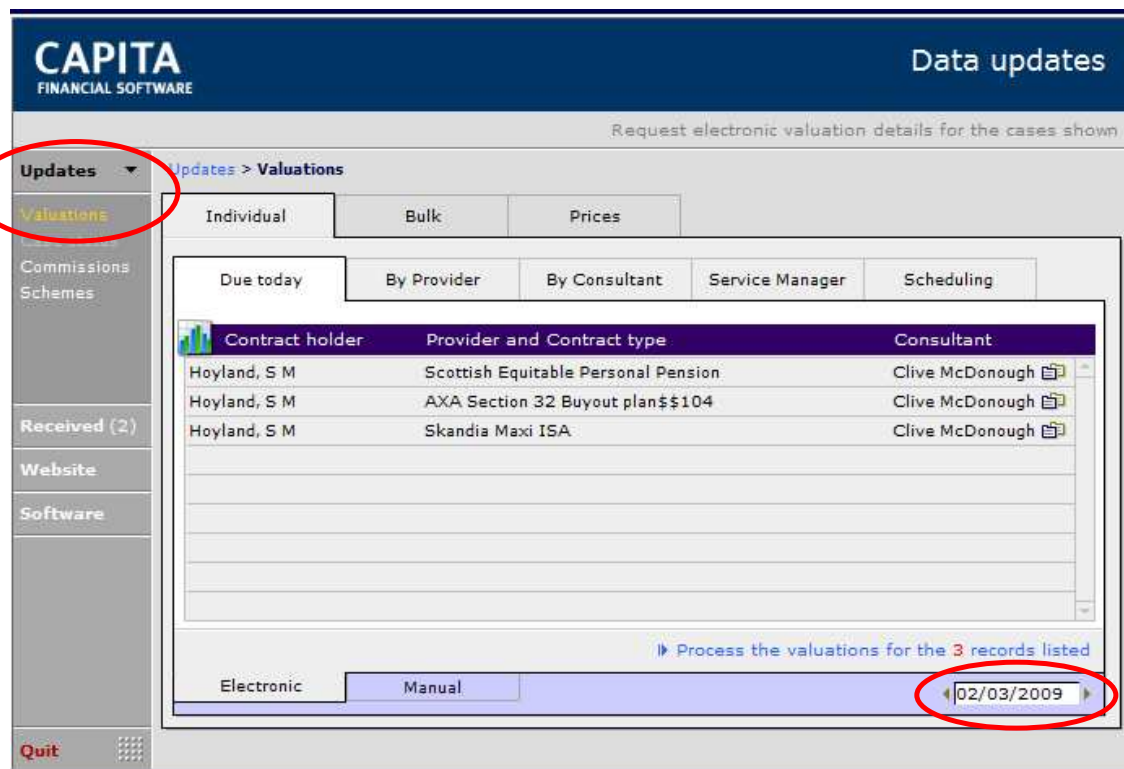
Sylvia Hoyland

**Clients** > Servicing > Valuations

Servicing Valuations Reviews

Provider	Contract type	Status	Valuation	Next
Scottish Equitable	Personal Pension	In force	62,301.00	02/03/09
AXA	Section 32 Buyout plan\$104	Paid up	78,025.00	02/03/09
Canada Life	Personal Pension	In force	43,890.00	02/03/09
Barclays Life	Personal Equity Plan	Matured	20,833.60	02/03/09
Skandia	Maxi ISA	In force	96.72	02/03/09
Threadneedle	Unit Linked Bond	In force	338.24	02/03/09

[Valuation of the client's contracts](#) [Set all next valuation dates to Monday 01 September 2008](#)



As you will see from the clients record the front "rule" screen has not changed but the dates set for each contract to be renewed have changed and carried forward in the valuation diary in the updates section.